

REQUEST FOR PROPOSAL NO: **RFP NO. NIMH-00-DB-0006**

TITLE: **"Brain Molecular Anatomy Project (BMAP):
Gene Discovery in the Developing Nervous
System"**

OMB #: 0990-0115

ISSUED BY: Bruce E. Anderson
Contracting Officer
National Institute of Mental Health
Contracts Management Branch
6001 Executive Blvd., Rm. 6107 (MSC 9603)
Rockville, MD 20892-9603

DATE ISSUED: Tuesday, July 11, 2000

PROPOSAL DUE DATE AND TIME: Tuesday, September 12, 2000, 4:30 PM EST
(See [Attachment 4, Packaging and Delivery of the Proposal](#))

PURCHASE AUTHORITY: Public Law 92-218 as amended

SMALL BUSINESS SET-ASIDE: No, SIC Code 8733

JUST IN TIME: Yes

OFFER EXPIRATION DATE: Offers will be valid for 120 days
unless a different period is specified by the Offeror

Dear Sirs:

The National Institute of Mental Health (NIMH) invites you to submit a proposal in accordance with the requirements and instructions of the above Request for Proposals (RFP). Proposals are being solicited under Full and Open Competitive procedures.

It is expected that one (1) cost-reimbursement, completion contract will be awarded on or before December 23, 2000, with a base period of three (3) years, and two (2) 1-year option periods (total 5 years, if options are exercised). There are two kinds of options in this initiative: options to extend the term of the contract; and, options for increased quantities. See Option clause in Attachment 2, Section B.1, Performance Period, and the Statement of Work item IV. Options, for more information. In accordance with FAR Clause 52.217-5, Evaluation of Options (July 1990), the Government will evaluate offers for award purposes by adding the total price for all options to the total price for the basic requirement, except when it is determined in accordance with FAR 17.206(b) not to be in the Government's best interests. **THEREFORE, THE OFFEROR MUST**

PROVIDE COSTS FOR ALL OPTIONS IN THE BUSINESS PROPOSAL. Evaluation of options will not obligate the Government to exercise the option(s).

The RFP does not commit the Government to pay costs for the preparation and submission of a proposal. It is also brought to your attention that the Contracting Officer is the only individual who can legally commit the Government to the expenditure of public funds in connection with any acquisition action.

SPECIAL ATTENTION SHOULD BE DIRECTED TO ATTACHMENT 4, PACKAGING AND DELIVERY OF THE PROPOSAL , AND TO ATTACHMENT 6, THE TECHNICAL PROPOSAL INSTRUCTIONS AND BUSINESS PROPOSAL INSTRUCTIONS. Your attention is further directed to the "Proposal Intent Response Sheet" contained in [Attachment 5](#). Please complete this form and return it to this office or notify me at the following Internet address: ba9i@nih.gov on or before August 12, 2000. This will allow us to expedite preparations for the peer review of proposals.

IF THERE ARE ANY AMENDMENTS TO THIS SOLICITATION, THEY WILL BE AVAILABLE ON THE INTERNET (NIMH HOME PAGE) AT:
<http://www.nimh.nih.gov/grants/indexcon.htm>. Notification of solicitation amendments to this RFP will be provided to those who submit the Proposal Intent Response Sheet. Offerors are responsible for routinely checking the NIMH website for any possible solicitation amendments that may be issued.

Questions concerning any areas of uncertainty which in your opinion require clarification or correction, must be furnished in writing, (Fax or email is also acceptable) to Bruce E. Anderson, and marked "Offeror's Questions, RFP No. NIMH-00-DB-0006 ". Questions pertaining the Government's requirement or proposal preparation should be referred only to Bruce E. Anderson, Contracts Management Branch, NIMH, who may be contacted on (301) 443-2696 or 2234, fax (301) 443-0501, or email ba9i@nih.gov. Collect calls will not be accepted.

ANY DISCUSSION OF THIS RFP WITH ANY INDIVIDUAL(S) OUTSIDE THE CONTRACTS MANAGEMENT BRANCH, NIMH, MAY RESULT IN DISQUALIFICATION OF THE OFFEROR AND REJECTION OF ANY PROPOSAL SUBMITTED.

The documents included with this electronic Streamlined RFP package are as follows:

Attachment No.

1. [Statement of Work \(SOW\)](#)
2. [Deliverables and Reporting Requirements](#)
3. [Evaluation Factors for Award](#)
4. [Packaging and Delivery of the Proposal](#)
5. [Proposal Intent Response Sheet](#)
6. [Standard RFP Instructions and Provisions](#)
 - a. [General Information](#)

- b. Instructions to Offerors
 - (1) [General Instructions](#)
 - (2) [Technical Proposal Instructions](#)
 - (3) [Business Proposal Instructions](#)
- 7. [Applicable RFP References](#)
 - a. Uniform Contract Format (sample contract clauses Section B-H)
 - b. General Clauses and Provisions (Sample contract clauses Section I)
 - c. Forms, Formats and Attachments - for submission of proposals and
and for information as potential contract attachments

The attachments listed above represent all the necessary information required for the submission of a proposal for this acquisition.

Sincerely,

/s/

Bruce E. Anderson
Contracting Officer
Contracts Management Branch, ORM
National Institute of Mental Health, NIH

Attachments: 1-7

ATTACHMENT 1 [\[Return To Table of Attachments\]](#)
RFP No. NIMH-00-DB-0006

STATEMENT OF WORK

Title: *Brain Molecular Anatomy Project (BMAP): Gene Discovery in the Developing Nervous System*

I. Background Information and Objectives

The precise spatio-temporal expression of genes during development is critical for determining the structure and function of the brain. The determination of the profile of genes expressed in various brain cell types during development and altered during pathophysiological states will provide valuable information that will contribute to a greater understanding of nervous system function and the improved diagnosis, treatment, and eventual prevention of serious mental disorders.

In 1998, the National Institute of Mental Health (NIMH) and the National Institute of Neurological Disorders and Stroke (NINDS) initiated the Brain Molecular Anatomy Project (BMAP), an interdisciplinary project to establish state-of-the-art technologies and informatics systems to decipher the molecular anatomy of the mammalian brain. As part of this multi-institute effort, NIMH and NINDS awarded a contract (N01 MH80014) to the University of Iowa (M. B. Soares, PI) to support construction of cDNA libraries from 10 brain regions, spinal cord, and retina in the adult mouse using strain C57BL6/J. This two-year project, which will be completed by the end of Calendar Year (FY) 2000, aims to identify over 75,000 3' ESTs from serially subtracted libraries and generate a non-redundant collection of $\geq 20,000$ mouse brain cDNA clones. The biological resources obtained through current BMAP contract will be made widely available to the scientific community. These resources include EST sequences, cDNA clones and libraries, and a collection of non-redundant arrayed cDNA clones representing transcripts expressed in adult mouse neural tissue ("BMAP UniGene" sets).

In order to complement our current effort and expand the scope of BMAP gene discovery, this contract shall catalog the full repertoire of genes expressed by different kinds of nervous system cells at different developmental stages. In the developing brain, it is critical that specific genes are expressed at precise times and places in order to form the correct number of cells, with the correct phenotypes and with the functionally appropriate connections. As the structure and function of the many different cell types in the brain are determined by the genes they express, the ability to determine the profile of genes expressed by a cell at various stages during normal development will be critical for understanding the physiology of the nervous system and pathophysiology underlying diseases in the nervous system. Ultimately, this contract shall provide an invaluable resource upon which future functional studies can be based and contribute to an increased understanding of nervous system functions and improved diagnosis, treatment, and eventually prevention of nervous system disorders. The resources to be generated under this contract include EST sequences, cDNA clones and libraries, and a collection of non-redundant

arrayed cDNA clones representing transcripts expressed in the developing mouse nervous systems ("BMAP Developmental UniGene" set).

II. Research Objectives

This contract requires the production of high-quality, representative cDNA libraries from specific anatomical regions of the mouse nervous systems at different developmental stages to identify and discover the genes whose expression is restricted spatially and temporally during development. The utility of this approach for novel gene discovery, namely utilization of representative cDNA libraries and determination of Expressed Sequence Tags (ESTs) present in the cDNA libraries, clearly has been demonstrated by the success of the ongoing BMAP gene discovery project employing adult mouse neural tissue.

The primary goal of this contract is the discovery of novel genes expressed in the developing mouse nervous system. Given this goal, it is not essential to utilize neural tissues from finely localized regions of the nervous system. The identification of genes from more coarsely localized regions at several stages during embryonic and postnatal development in the mouse will facilitate the development of resources for future studies of gene expression patterns in which neuroanatomical regions are finely mapped, and for determination of their roles in nervous system functions. This is an area of increasing interest to the neuroscience research community. It is expected that the work accomplished in the proposed contract will greatly complement ongoing gene discovery efforts and determination of gene expression patterns in the nervous systems of human and other mammalian systems.

III. Services to be Performed

The Government Project Officer (GPO) whose position is defined in Section G of the contract, shall monitor all work under the contract. The Contractor shall use state-of-the-art methodologies and protocols to achieve all of the following requirements.

Independently, and not as an agent of the Government, the Contractor shall furnish all necessary labor, services, equipment, materials, and supplies (except as otherwise specified herein) and perform the requirements set forth below.

Requirement 1. Preparation and isolation of high-quality RNA using improved and/or new technologies, for the purpose of generating cDNA libraries from the developing mouse nervous system.

In order to prepare high quality RNA, the Contractor shall:

- a) Obtain micro-dissected neural tissues from various regions of developing mouse nervous system. Mouse strain of **C57BL6/J** is the required strain for obtaining tissue samples to be consistent with the ongoing BMAP gene discovery project and other projects supported under trans-NIH mouse genomic and genetic initiatives.

- b) Use, at minimum, three (3) embryonic stages (early-, mid-, and late- embryonic days) and two (2) neonatal stages (for example, postnatal day 0 and postnatal day 5), which will be of most general interest to the neuroscience community. The choice of specific developmental stages will determine the anatomical regions from which the Contractor shall isolate RNA samples. The Contractor shall include the anatomical structures (e.g., forebrain, midbrain, hindbrain, spinal cord, and sensory organs such as visual, auditory, and olfactory tissues) that are accessible for dissection at particular developmental stages. For early stages when mouse embryos are small, whole nervous system tissue samples may be used.
- c) Tissues from a specific region of the mouse nervous system may be pooled from several mouse embryos and pups, in order to obtain enough material for RNA isolation and subsequent cDNA library production.
- d) Continue to actively explore and recommend the use of new technologies and techniques in the preparation and isolation of high-quality RNA throughout the term of the contract; the use of any new technologies or techniques and all revisions to protocols shall be presented to the GPO for approval.

Requirement 2. Preparation of high-quality representative cDNA libraries using state-of-the-art techniques.

In order to prepare high quality cDNA libraries, the Contractor shall:

- a) Finalize and submit all protocols within 15 calendar days from contract award for approval of the Government Project Officer. Prepare high-quality directionally cloned cDNA libraries that are representative qualitatively or quantitatively of the genes expressed. The experimental protocol(s) should be optimized so that cDNA libraries contain large-inserts (1.5 - 2 kb average insert size), and exhibit reduced redundancy within each library through the utilization of appropriate normalization procedures. The Contractor may employ additional experimental strategies to further reduce redundancy across libraries and enrich for representation of rare transcripts within each library to detect rare or unique transcripts, whose expression is spatially and temporally restricted during development. An example of such an approach may be to generate serially subtracted cDNA libraries utilizing a collection of the BMAP mouse brain UniGene clones. Information on the BMAP UniGene collection is available at <http://www.nih.gov/science/bmap>.
- b) Continue to actively explore and recommend the use of new technologies to prepare high-quality representative cDNA libraries throughout the term of the contract. The GPO shall approve in advance all changes to approved protocols, or new protocols employing additional experimental strategies.

- c) Use approved protocols to prepare approximately twenty (20) cDNA libraries in combination of developmental stages and regions of the nervous system.

Requirement 3. Utilize high-throughput sequencing to assess the quality of the cDNA libraries; generate BMAP Developmental UniGene Sets.

In order to achieve this requirement, the Contractor shall:

- a) Perform DNA sequencing on clones in cDNA libraries prepared in Requirement 2, in order to generate up to 100,000-150,000 3' ESTs, during the 3-year base period of the contract.
- b) Utilize available bioinformatics tools or develop new computational methods for analysis, annotation, and clustering of EST sequences.
- c) Assemble EST sequences to generate clusters consisting of at least 25,000 unique UniGenes. Each member of the UNIGENE clusters will be sequenced to generate 5' ESTs for the purpose of identifying unique genes expressed within the specific regions of the nervous system during development.
- d) re-array cDNA clone sets consisting of a representative member of non-redundant, unique clusters to generate BMAP Developmental UniGene Set.

Requirement 4. Disseminate data; store and distribute biological materials

The Contractor shall:

- a) Validate, annotate, and submit EST DNA sequences at least bi-weekly (every two weeks) to dbEST, a division of GenBank that contains ESTs from a number of organisms (<http://www.ncbi.nlm.nih.gov/dbEST/>). Data shall be backed up regularly to a secure server in a different location than the data entry computer.
- b) Ensure that sufficient material is produced to allow distribution to researchers (i.e., samples of arrayed cDNA libraries and clones, including single arrayed clones, replicas of the entire array, and re-arrayed subsets of the original array). One set of each resource (the original set) shall remain with the Contractor for the life of the contract. The Contractor must be able to minimize tracking errors in handling a large number of biomaterials in a multi-step operation, and eliminate the possibility of cross-contamination of biomaterials. Store and maintain viable stocks of all of the individual cDNA clones and arrayed cDNA libraries in an ultra-low temperature (-80°C) freezer, with alarm system, owned by the NIMH.
- c) Transfer these resources to qualified researchers, as directed by the GPO, under the terms and conditions of a "Material Transfer Agreement", to be submitted to and approved by the GPO. These materials are the sole property of the U.S.

Government. The Contractor shall package and ship biomaterials in accordance with all local, state and Federal safety and shipping regulations.

- d) Transfer all remaining data and biomaterials produced under this contract to the NIMH or to a designated third party, as directed by the Government Project Officer and by the conclusion of this contract. These materials are the sole property of the U.S. Government. The Contractor shall fully cooperate with any successor Contractor and the NIMH to ensure the smooth and efficient transfer of all such data and biological materials.

Requirement 5: Publications and research using contract biomaterials

- a) The Contractor shall make all scientific information on the biomaterials produced under this contract (i.e. cDNA libraries, UniGene set) widely available to the scientific community by publication in peer-reviewed journals and/or as publicly accessible Internet resources.
- b) The Contractor is encouraged to conduct his own research utilizing biomaterials generated under this contract and publish the results of such studies.

Requirement 6. Reporting requirements.

- a) The Contractor shall provide written summaries of the work performed under the contract after the end of each contract **quarter**. These quarterly reports shall include, as a minimum, the following:
 - i) Number of cDNA libraries created and their complete descriptions (regions of the embryonic nervous systems, developmental stages, average insert size, range of insert size, number of recombinants, vector used).
 - ii) 3' and 5' EST sequencing data and the results of sequence analysis as they become available. The report shall include information on the number of UniGene clusters and discovery of novel clusters from the cDNA libraries, and the number of 3' and 5' EST sequences submitted to dbEST during the reporting period.
 - iii) A narrative summary of the work performed during the reporting period, including a discussion of any significant problems which have affected (or might continue to affect) contract performance and proposed corrective action; a discussion of work to be performed during the **next** reporting period.
- b) A brief **annual** report shall be compiled to summarize the information contained in that year's quarterly reports.

- c) A **final** report, including an executive summary of no more than three pages, shall summarize all of the activities conducted under this contract.

IV. **Options**

a) Option to Extend the Term of the Contract:

This contract consists of a three-year base period, followed by two, one-year options.

If exercised by the Government, each option year following the three-year base contract period will require the Contractor to continue work on requirements 1-6, as outlined above, with the following modifications:

Requirement 2: prepare eight (8) to twelve (12) additional cDNA libraries per year, which will include developmental stages and regions of the nervous system that are not covered initially. The Project Officer shall approve the mouse neural tissues, and their developmental stages, for the work during any option periods.

b) Option for Additional Quantities

As progress is made in gene discovery efforts in mammalian model organisms and new approaches and methodologies are developed, the needs and focus of this contract may expand to include additional library development from related tissues derived from the nervous system (e.g., sensory systems including visual, olfactory, auditory, and peripheral nervous system tissues).

If this option is exercised by the Government, the Contractor shall:

1. base period - generate up to 15 additional cDNA libraries and 150,000 EST sequences from various related mouse tissues during the three-year base contract period.
2. option period(s) - generate up to 10 additional cDNA libraries and 100,000 EST sequences per year, from various related mouse tissues.

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DELIVERABLES, REPORTING REQUIREMENTS/PERFORMANCE

1. PERFORMANCE PERIOD

Performance of this contract shall begin on (effective date of contract) and shall not extend beyond the estimated completion date, unless the contract is extended by modification to the contract.

Option Years

Unless the Government exercises its option pursuant to the Option Clause set forth below, the contract will consist only of Years 1, 2, and 3. Pursuant to clause 52.217- 9 set forth below, the Government may, by unilateral contract modification, require the Contractor to perform additional Year(s) of the Statement of Work. If the Government exercises this option, notice must be given at least 60 days prior to the expiration date of this contract, and the estimated cost of the contract will be increased as set forth in Article B.

Option to Extend the Term of the Contract (Mar 2000)

- (a) The Government may extend the term of this contract by written notice to the Contractor within 30; provided that the Government gives the Contractor a preliminary written notice of its intent to extend at least 60 days. The preliminary notice does not commit the Government to an extension.
- (b) If the Government exercises this option, the extended contract shall be considered to include this option clause.
- (c) The total duration of this contract, including the exercise of any options under this clause, shall not exceed 5 years.

(End of clause)

2. PERFORMANCE

Satisfactory performance of the final contract shall be deemed to occur upon delivery and acceptance by the Contracting Officer, or the duly authorized representative, of the following items in accordance with the stated delivery schedule:

- a. Technical Progress Reports

In addition to any required reports set forth elsewhere in this Schedule, the preparation and submission of regularly recurring Technical Progress Reports will be required in any contract resulting from this solicitation. These reports will require descriptive information about the activities undertaken during the reporting period and will require information about planned activities for future reporting periods. The frequency and specific content of these reports will be determined prior to contract award.

For proposal preparation purposes only, it is estimated that these reports will be required as follows:

1) Quarterly Reports

The Contractor shall provide written summaries of the work performed under the contract at the end of each contract **quarter**. These reports are due 15 calendar days after the end on each quarter and may be submitted electronically or in hard copy. They shall be sent to the Government Project Officer and the Contracting Officer. These quarterly reports shall include, as a minimum, the following:

- i. Number of cDNA libraries created and their complete descriptions (regions of the embryonic nervous systems, developmental stages, average insert size, range of insert size, number of recombinants, vector used).
- ii. 3' and 5' EST sequencing data and the results of sequence analysis as they become available. The report shall include information on the number of UniGene clusters and discovery of novel clusters from the cDNA libraries, and the number of 3' and 5' EST sequences submitted to dbEST during the reporting period.
- iii. A narrative summary of the work performed during the reporting period, including a discussion of any significant problems which have affected (or might continue to affect) contract performance and proposed corrective action; a discussion of work to be performed during the **next** reporting period.

2) Annual Reports

A brief **annual** report shall be compiled to summarize the information contained in that year's quarterly reports. These reports are due 15 calendar days after the end of each contract year and may be submitted electronically or in hard copy. They shall be sent to the Government Project Officer and the Contracting Officer.

3) Final Reports

An original signed **final** report, plus an electronic copy, must be submitted to both the GPO and the Contracting Officer at the expiration date of this contract.

It shall include an executive summary of no more than three pages, and shall summarize all of the activities conducted under this contract.

- b. Other Deliverables : EST DNA sequences; draft “Material Transfer Agreement” to distribute resources; resources produced under the contract (i.e., samples of arrayed cDNA libraries and clones, including single arrayed clones, replicas of the entire array, and re-arrayed subsets of the original array)
- c. Delivery Schedule

After the contract award date, the contractor shall deliver the following items to the GPO and CO in accordance with the stated delivery schedule as estimated below:

DELIVERABLE ITEM/DESCRIPTION	QUANTITY	DUE DATE
Quarterly Reports	Electronic	15 calendar days after end of each contract quarter
Annual Reports	Electronic	15 calendar days after end of each contract year
Final Report	1 hardcopy & electronic	By contract completion date
EST DNA sequences	See Statement of Work	at least <u>bi-weekly</u> (every two weeks) to dbEST, a division of GenBank that contains ESTs from a number of organisms (http://www.ncbi.nlm.nih.gov/dbEST/).
Proposed “Material Transfer Agreement” to distribute resources	1 draft	Before shipping any materials
Resources produced under the contract (i.e., samples of arrayed cDNA libraries and clones, including single arrayed clones, replicas of the entire array, and re-arrayed subsets of the original array)	One set each	After completion, to be distributed/transferred to qualified researchers as requested

- d. Option for Increased Quantity (Mar 1989)

(See Statement of Work, Item IV. b) Option for Additional Quantities for more information.)

The Government may increase the quantity of supplies called for in the Schedule at the unit price specified. The Contracting Officer may exercise the option by written notice to the Contractor within 30 days prior to start of increased quantity period. Delivery of the

added items shall continue at the same rate as the like items called for under the contract, unless the parties otherwise agree.

(End of clause)

3. FAR CLAUSES REGARDING PERFORMANCE

In addition, the following FAR Clauses apply to this solicitation and are incorporated by reference with the same force and effect as is set forth in the full text.

FAR CLAUSE

TITLE AND DATE

1. 52.242.15

Stop Work Order (August 1989), Alternate I (April 1984)

2. 52.246-8

Inspection of Research and Development - Cost Reimbursement (April 1984).

ATTACHMENT 3 [\[Return to Table of Attachments\]](#)
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EVALUATION FACTORS FOR AWARD

A. **GENERAL**

Selection of an offeror for contract award will be based on an evaluation of proposals against four (4) factors. The factors in order of importance are: technical, cost, past performance, and Small Disadvantaged Business (SDB) participation. Although technical factors are of paramount consideration in the award of the contract, cost/price, past performance, and SDB participation are also important to the overall contract award decision. All evaluation factors other than cost or price, when combined, are significantly more important than cost or price. In any case, the Government reserves the right to make an award(s) to that offeror whose proposal provides the best overall value to the Government.

The evaluation will be based on the demonstrated capabilities of the prospective Contractors in relation to the needs of the project as set forth in the RFP. The merits of each proposal will be evaluated carefully. Each proposal must document the feasibility of successful implementation of the requirements of the RFP. Offerors must submit information sufficient to evaluate their proposals based on the detailed criteria listed below.

B. **MANDATORY QUALIFICATION CRITERION**

Listed below are mandatory qualification criteria. THE OFFEROR SHALL PROVIDE AN INDEX WITHIN ITS PROPOSAL WHICH DIRECTS THE REVIEWER(S) TO THE SPECIFIC AREA(S) OF THE PROPOSAL THAT ADDRESS A PARTICULAR MANDATORY QUALIFICATION.

The qualification criteria establishes conditions that **must** be met at the time of receipt of Final Proposal Revisions (FPRs) by the Contracting Officer in order for your proposal to be considered any further for award.

A statement must be included in the proposal that:

- 1) the offeror agrees and is committed to producing materials and data that shall be widely distributed, in a timely manner;**
- 2) the offeror agrees to provide sequencing data to GenBank at least every two weeks; and**
- 3) upon request to provide individual cDNA clones and arrayed cDNA libraries during the contract term and/or at the conclusion of the contract, to the NIMH or to a third party designated by the NIMH**

C. TECHNICAL EVALUATION CRITERIA AND ASSIGNED WEIGHTS

The evaluation criteria are used by the technical evaluation committee when reviewing the technical proposals. The criteria below are listed in the order of relative importance with weights assigned for evaluation purposes.

The demonstrated evidence should specify current or past contracts, or activities for related requirements, and the qualifications, availability, and experience of the professional and technical personnel necessary to perform contract requirements.

Proposals submitted in response to this RFP will be judged solely on the written material provided by the offeror.

The maximum score for a proposal is **200**. Proposals will be evaluated based on the following factors:

1. **Technical Approach:** (Total 120 Points: 60 points Part 1, and 60 points Part 2)

Technical approach will be evaluated, as evidenced by the offeror's experimental design and protocols, for accomplishing the following during the base period and options:

Part 1: Isolation of high-quality mouse RNA and DNA library construction (60 points)

- a) choice of developmental stages and regions of the developing mouse nervous system; obtaining tissue samples (40 points)
- b) generating high-quality cDNA libraries from mammalian tissues including isolation of RNA samples and cDNA synthesis (20 points)

Part 2: Construction of non-redundant cDNA libraries and high-throughput sequencing of the libraries for gene discovery (60 points)

- c) Using state-of-the-art cDNA technologies for constructing libraries in which rare transcripts are well-represented (20 points)
 - d) Constructing multiple cDNA libraries that are non-redundant with respect to genes expressed across libraries (20 points)
 - e) Achieving efficient and high-throughput sequencing of cDNA libraries and analysis of sequencing data (20 points)
2. **Personnel:** Quality of the research team for accomplishing the required work, as evidenced in CVs and publications, which demonstrate previous experience doing similar complex projects, anatomical expertise, and experience cataloging the full repertoire of genes

expressed by different kinds of nervous system cells at different developmental stages **(60 points)**

3. **Facilities, Equipment and Resources, Quality Control:** Availability and adequacy of the offeror's proposed facilities, equipment and other resources necessary for performance of the contract; plans for material and data distribution, minimizing tracking errors in handling a large number of biomaterials in a multi-step operation, elimination of possible cross contamination of biomaterials, and plans for specimen and data security. **(20 Points)**

D. OTHER EVALUATION CRITERIA

1. **PAST PERFORMANCE FACTOR** (See Attachment 6, Instructions to Offerors, General Instructions, item (21), for more information)

An evaluation of offerors' past performance information will be conducted prior to any communications with offerors leading to establishment of the competitive range. However, this evaluation will not be conducted on any offeror whose proposal will not be admitted to the competitive range on the basis of the results of the evaluation of factors other than past performance.

The evaluation will be based on information obtained from references provided by the offeror, other relevant past performance information obtained from other sources known to the Government, and any information supplied by the offeror concerning problems encountered on the identified contracts and corrective action taken.

The Government will assess the relative risks associated with each offeror. Performance risks are those associated with an offeror's likelihood of success in performing the acquisition requirements as indicated by that offeror's record of past performance.

The assessment of performance risk is not intended to be the product of a mechanical or mathematical analysis of an offeror's performance on a list of contracts but rather the product of subjective judgment by the Government after it considers all available and relevant information.

When assessing performance risks, the Government will focus on the past performance of the offeror as it relates to all acquisition requirements, such as the offeror's record of performing according to specifications, including standards of good workmanship; the offeror's record of controlling and forecasting costs; the offeror's adherence to contract schedules, including the administrative aspects of performance; the offeror's reputation for reasonable and cooperative behavior and commitment to customer satisfaction; and generally, the offeror's business-like concern for the interest of the customer.

The Government will consider the currency and relevance of the information, source of the information, context of the data, and general trends in the offeror's performance.

The lack of a relevant performance record may result in an unknown performance risk assessment, which will neither be used to the advantage nor disadvantage of the offeror.

2. EXTENT OF SMALL DISADVANTAGED BUSINESS PARTICIPATION (See **Attachment 6, Instructions to Offerors, General Instructions, item (15), for more information**)

SDB participation will not be scored, but the Government's conclusions about overall commitment and realism of the offeror's SDB Participation targets will be used in determining the relative merits of the offeror's proposal and in selecting the offeror whose proposal is considered to offer the best value to the Government.

The extent of the offeror's Small Disadvantaged Business Participation Targets will be evaluated before determination of the competitive range. Evaluation of SDB participation will be assessed based on consideration of the information presented in the offeror's proposal. The Government is seeking to determine whether the offeror has demonstrated a commitment to use SDB concerns for the work that it intends to perform.

Offers will be evaluated on the following sub-factors:

- (a) Extent to which SDB concerns are specifically identified
- (b) Extent of commitment to use SDB concerns
- (c) Complexity and variety of the work SDB concerns are to perform
- (d) Realism of the proposal
- (e) Past performance of offerors in complying with subcontracting plan goals for SDB concerns and monetary targets for SDB participation
- (f) Extent of participation of SDB concerns in terms of the value of the total acquisition.

3. NOTICE OF PRICE EVALUATION ADJUSTMENT FOR SMALL DISADVANTAGED BUSINESS CONCERNS

Offers from Small Disadvantaged Business firms:

In accordance with FAR Clause 52.219-23, Notice of Price Evaluation Adjustment for Small Disadvantaged Business Concerns, incorporated in Attachment 5, RFP References, offerors will be evaluated by adding a factor of 10 percent to the price of all offers, except offers from small disadvantaged business concerns that have not waived the adjustment. (Note: A listing of other offerors who are excepted and will not have this evaluation factor added to their offer may be found in subparagraph (b) of FAR Clause 52.219-23, which can be found on-line at <http://www.arnet.gov/far/>)

A small disadvantaged business concern may elect to waive the adjustment, in which case the factor will be added to its offer for evaluation purposes. The agreements in paragraph (d) of FAR Clause 52.219-23 do not apply to offerors that waive the adjustment.

AN OFFEROR WHO ELECTS TO WAIVE THIS EVALUATION ADJUSTMENT MUST SPECIFICALLY INDICATE WITH A STATEMENT TO THIS EFFECT ON THE COVER PAGE OF ITS BUSINESS PROPOSAL.

4. HUBZONE SMALL BUSINESS CONCERNS

Offers from Qualified HUBZone firms:

Small Business offerors located in underutilized business zones, called "HUBZones," will be evaluated in accordance with FAR Clause 52.219-4, NOTICE OF PRICE EVALUATION PREFERENCE FOR HUBZONE SMALL BUSINESS CONCERNS. Qualified HUBZone firms are identified in the Small Business Administration website at <http://www.sba.gov/hubzone>

5. EVALUATION OF OPTIONS

It is anticipated that any contract(s) awarded from this solicitation will contain option provisions(s) and period(s).

In accordance with FAR Clause 52.217-5, Evaluation of Options (July 1990), the Government will evaluate offers for award purposes by adding the total price for all options to the total price for the basic requirement, except when it is determined in accordance with FAR 17.206(b) not to be in the Government's best interests. Evaluation of options will not obligate the Government to exercise the option(s).

ATTACHMENT 4 [\[Return to Table of Attachments\]](#)
RFP No. NIMH-00-DB-0006

PACKAGING AND DELIVERY OF THE PROPOSAL

Your proposal shall be organized as specified in Section L.2., "Instructions to Offerors" - General Instructions. YOUR PROPOSALS MUST BE SIGNED BY AN OFFICIAL AUTHORIZED TO CONTRACTUALLY BIND YOUR ORGANIZATION. Shipment and marking shall be as indicated below.

EXTERNAL PACKAGE MARKING

In addition to the address cited below, mark each package as follows:

“RFP NO. NIMH-00-DB-0006
TO BE OPENED BY AUTHORIZED GOVERNMENT PERSONNEL ONLY”

The technical and business/cost proposals must be separate. One (1) unbound signed original and ten (10) unbound copies of your technical proposal, and one (1) unbound signed original and five (5) unbound copies of your Business/Cost Proposal, must be received by the Contracting Officer NO LATER THAN 4:30 P.M., LOCAL PREVAILING TIME, ON TUESDAY, SEPTEMBER 12, 2000, at the following address:

If using overnight delivery service	If using U.S. Postal Service
Attn: Bruce E. Anderson Contracting Officer National Institute of Mental Health Contracts Management Branch 6001 Executive Blvd., Rm. 6107 (MSC 9603) Rockville, MD 20852 -9603	Attn: Bruce E. Anderson Contracting Officer National Institute of Mental Health Contracts Management Branch 6001 Executive Blvd., Rm. 6107 (MSC 9603) Rockville, MD 20892 -9603

NOTE: The U.S. Postal Service's "Express Mail" does not deliver to the Rockville, Maryland address. Any package sent to the Rockville address via this service will be held at a local post office for pick-up. The Government is not responsible for picking up any mail at a local post office. If a proposal is not received at the place, date, and time specified herein, it will be considered a "late proposal."

If your proposal is not received by the Contracting Officer or designee at the place and time specified, then it will be considered late and handled in accordance with the PHS Clause 352.215-10 entitled "Late Proposals, Modifications of Proposals, and Withdrawals of Proposals."

Continued on next page

Please use the "Technical Proposal Cover Sheet" (see Attachment 7) as a cover for each copy of your technical proposal. This form must be completed in full detail. It is important that you list all professional personnel and organizations named in the proposal who will have any role in the proposed work, including: staff of the primary organization (offeror), subcontractors, collaborating organizations, and consultants. Organizational affiliation(s) must be indicated for every person named.

Use the "Proposal Summary and Data Record, NIH-2043 (see Attachment 7), as a cover for each copy of the business proposal.

ATTACHMENT 5 [\[Return to Table of Attachments\]](#)
RFP No. NIMH-00-DB-0006

PROPOSAL INTENT RESPONSE SHEET - PROPOSAL INTENT

AFTER REVIEWING THIS RFP, PLEASE FURNISH THE INFORMATION REQUESTED BELOW AND RETURN THIS PAGE ON OR BEFORE AUGUST 12, 2000. YOUR EXPRESSION OF INTENT IS NOT BINDING BUT WILL GREATLY ASSIST US IN PLANNING FOR PROPOSAL EVALUATION.

CHECK ONLY ONE BOX.

☐ **DO** INTEND TO SUBMIT A PROPOSAL FOR THE FOLLOWING:

Title: *Brain Molecular Anatomy Project (BMAP): Gene Discovery in the Developing Nervous System*

☐ **DO NOT** INTEND TO SUBMIT A PROPOSAL FOR THE FOLLOWING REASONS:

TYPED NAME AND TITLE: _____

INSTITUTION: _____

SIGNATURE: _____

TELEPHONE NO.: _____

EMAIL ADDRESS: _____

FAX NO. _____

DATE: _____

COLLABORATORS/CONSULTANTS - Provide name(s) and institution(s): (Continue list on additional pages if necessary)

Continued on next page

RETURN TO: National Institute of Mental Health
Contracts Management Branch
Attn: Bruce E. Anderson
Neuroscience Center Bldg., Rm. 6107
6001 Executive Blvd. (MSC 9603)
Bethesda, MD 20892-9603
FAX (301) 443-0501
ba9i@nih.gov

ATTACHMENT 6 [\[Return to Table of Attachments\]](#)
RFP No. NIMH-00-DB-0006

SECTION L - INSTRUCTIONS, CONDITIONS, AND NOTICES TO OFFERORS

1. GENERAL INFORMATION

A. INSTRUCTIONS TO OFFERORS--COMPETITIVE ACQUISITION [FAR Clause 52.215-1 (February 2000)]

(a) *Definitions.* As used in this provision--

Discussions are negotiations that occur after establishment of the competitive range that may, at the Contracting Officer's discretion, result in the offeror being allowed to revise its proposal.

"*In writing*" or "*written*" means any worded or numbered expression which can be read, reproduced, and later communicated, and includes electronically transmitted and stored information.

"*Proposal modification*" is a change made to a proposal before the solicitation's closing date and time, or made in response to an amendment, or made to correct a mistake at any time before award.

"*Proposal revision*" is a change to a proposal made after the solicitation closing date, at the request of or as allowed by a Contracting Officer as the result of negotiations.

"*Time*," if stated as a number of days, is calculated using calendar days, unless otherwise specified, and will include Saturdays, Sundays, and legal holidays. However, if the last day falls on a Saturday, Sunday, or legal holiday, then the period shall include the next working day.

(b) *Amendments to solicitations.* If this solicitation is amended, all terms and conditions that are not amended remain unchanged. Offerors shall acknowledge receipt of any amendment to this solicitation by the date and time specified in the amendment(s).

(c) *Submission, modification, revision, and withdrawal of proposals.* (1) Unless other methods (*e.g.*, electronic commerce or facsimile) are permitted in the solicitation, proposals and modifications to proposals shall be submitted in paper media in sealed envelopes or packages (i) addressed to the office specified in the solicitation, and (ii) showing the time and date specified for receipt, the solicitation number, and the name and address of the offeror. Offerors using commercial carriers should ensure that the proposal is marked on the outermost wrapper with the information in paragraphs (c)(1)(i) and (c)(1)(ii) of this provision.

- (2) The first page of the proposal must show--
- (i) The solicitation number;
 - (ii) The name, address, and telephone and facsimile numbers of the offeror (and electronic address if available);
 - (iii) A statement specifying the extent of agreement with all terms, conditions, and provisions included in the solicitation and agreement to furnish any or all items upon which prices are offered at the price set opposite each item;
 - (iv) Names, titles, and telephone and facsimile numbers (and electronic addresses if available) of persons authorized to negotiate on the offeror's behalf with the Government in connection with this solicitation; and
 - (v) Name, title, and signature of person authorized to sign the proposal. Proposals signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
- (3) *Submission, modification, revision, and withdrawal of proposals.* (i) Offerors are responsible for submitting proposals, and any modifications or revisions, so as to reach the Government office designated in the solicitation by the time specified in the solicitation. If no time is specified in the solicitation, the time for receipt is 4:30 p.m., local time, for the designated Government office on the date that proposal or revision is due.
- (ii) (A) Any proposal, modification, or revision received at the Government office designated in the solicitation after the exact time specified for receipt of offers is "late" and will not be considered unless it is received before award is made, the Contracting Officer determines that accepting the late offer would not unduly delay the acquisition; and--
 - (1) If it was transmitted through an electronic commerce method authorized by the solicitation, it was received at the initial point of entry to the Government infrastructure not later than 5:00 p.m. one working day prior to the date specified for receipt of proposals; or
 - (2) There is acceptable evidence to establish that it was received at the Government installation designated for receipt of offers and was under the Government's control prior to the time set for receipt of offers; or
 - (3) It is the only proposal received.
 - (B) However, a late modification of an otherwise successful proposal that makes its terms more favorable to the Government, will be considered at any time it is received and may be accepted.
- (iii) Acceptable evidence to establish the time of receipt at the Government installation includes the time/date stamp of that installation on the proposal wrapper, other documentary evidence of receipt maintained by the installation, or oral testimony or statements of Government personnel.

- (iv) If an emergency or unanticipated event interrupts normal Government processes so that proposals cannot be received at the office designated for receipt of proposals by the exact time specified in the solicitation, and urgent Government requirements preclude amendment of the solicitation, the time specified for receipt of proposals will be deemed to be extended to the same time of day specified in the solicitation on the first work day on which normal Government processes resume.
 - (v) Proposals may be withdrawn by written notice received at any time before award. Oral proposals in response to oral solicitations may be withdrawn orally. If the solicitation authorizes facsimile proposals, proposals may be withdrawn via facsimile received at any time before award, subject to the conditions specified in the provision at 52.215-5, Facsimile Proposals. Proposals may be withdrawn in person by an offeror or an authorized representative, if the identity of the person requesting withdrawal is established and the person signs a receipt for the proposal before award.
- (4) Unless otherwise specified in the solicitation, the offeror may propose to provide any item or combination of items.
 - (5) Offerors shall submit proposals in response to this solicitation in English, unless otherwise permitted by the solicitation, and in U.S. dollars, unless the provision at FAR 52.225-17, Evaluation of Foreign Currency Offers, is included in the solicitation.
 - (6) Offerors may submit modifications to their proposals at any time before the solicitation closing date and time, and may submit modifications in response to an amendment, or to correct a mistake at any time before award.
 - (7) Offerors may submit revised proposals only if requested or allowed by the Contracting Officer.
 - (8) Proposals may be withdrawn at any time before award. Withdrawals are effective upon receipt of notice by the Contracting Officer.
- (d) *Offer expiration date.* Proposals in response to this solicitation will be valid for the number of days specified on the solicitation cover sheet (unless a different period is proposed by the offeror).
 - (e) *Restriction on disclosure and use of data.* Offerors that include in their proposals data that they do not want disclosed to the public for any purpose, or used by the Government except for evaluation purposes, shall--
- (1) Mark the title page with the following legend:

This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed--in

whole or in part--for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this offeror as a result of--or in connection with--the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets [*insert numbers or other identification of sheets*]; and

- (2) Mark each sheet of data it wishes to restrict with the following legend:

Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal.

- (f) *Contract award.* (1) The Government intends to award a contract or contracts resulting from this solicitation to the responsible offeror(s) whose proposal(s) represents the best value after evaluation in accordance with the factors and subfactors in the solicitation.
- (2) The Government may reject any or all proposals if such action is in the Government's interest.
- (3) The Government may waive informalities and minor irregularities in proposals received.
- (4) The Government intends to evaluate proposals and award a contract without discussions with offerors (except clarifications as described in FAR 15.306(a)). Therefore, the offeror's initial proposal should contain the offeror's best terms from a cost or price and technical standpoint. The Government reserves the right to conduct discussions if the Contracting Officer later determines them to be necessary. If the Contracting Officer determines that the number of proposals that would otherwise be in the competitive range exceeds the number at which an efficient competition can be conducted, the Contracting Officer may limit the number of proposals in the competitive range to the greatest number that will permit an efficient competition among the most highly rated proposals.
- (5) The Government reserves the right to make an award on any item for a quantity less than the quantity offered, at the unit cost or prices offered, unless the offeror specifies otherwise in the proposal.
- (6) The Government reserves the right to make multiple awards if, after considering the additional administrative costs, it is in the Government's best interest to do so.
- (7) Exchanges with offerors after receipt of a proposal do not constitute a rejection or counteroffer by the Government.

- (8) The Government may determine that a proposal is unacceptable if the prices proposed are materially unbalanced between line items or subline items. Unbalanced pricing exists when, despite an acceptable total evaluated price, the price of one or more contract line items is significantly overstated or understated as indicated by the application of cost or price analysis techniques. A proposal may be rejected if the Contracting Officer determines that the lack of balance poses an unacceptable risk to the Government.
- (9) If a cost realism analysis is performed, cost realism may be considered by the source selection authority in evaluating performance or schedule risk.
- (10) A written award or acceptance of proposal mailed or otherwise furnished to the successful offeror within the time specified in the proposal shall result in a binding contract without further action by either party.
- (11) The Government may disclose the following information in postaward debriefings to other offerors:
 - (i) The overall evaluated cost or price and technical rating of the successful offeror;
 - (ii) The overall ranking of all offerors, when any ranking was developed by the agency during source selection;
 - (iii) A summary of the rationale for award; and
 - (iv) For acquisitions of commercial items, the make and model of the item to be delivered by the successful offeror.

(End of Provision)

Alternate I (October 1997). As prescribed in 15.209(a)(1), substitute the following paragraph (f)(4) for paragraph (f)(4) of the basic provision:

- (f) (4) The Government intends to evaluate proposals and award a contract after conducting discussions with offerors whose proposals have been determined to be within the competitive range. If the Contracting Officer determines that the number of proposals that would otherwise be in the competitive range exceeds the number at which an efficient competition can be conducted, the Contracting Officer may limit the number of proposals in the competitive range to the greatest number that will permit an efficient competition among the most highly rated proposals. Therefore, the offeror's initial proposal should contain the offeror's best terms from a price and technical standpoint.

B. "JUST IN TIME"

This RFP contains special procedures for the submission of business management proposals. These special procedures are designed to reduce the administrative burden on

offerors without compromising the information needed during the initial evaluation of proposals. Certain documents will no longer be required to be submitted with initial proposals, but will be requested at a later stage in the competitive process. Specifically, the travel policy, the annual financial statement, the total compensation plan, the subcontracting plan, and certain types of cost/pricing information will only be required to be submitted from those offerors included in the competitive range, or the apparent successful offeror. The special procedures for submission of this documentation are set forth in detail below:

Travel Policy. The offeror's (and any proposed subcontractor's) written travel policy shall **not** be submitted with the initial business proposal. All offerors included in the competitive range will be required to submit a travel policy as a part of their final proposal revision.

Annual Report. The offeror's most recent annual report shall **not** be submitted with the initial business proposal. All offerors included in the competitive range will be required submit a copy of their most recent annual report as a part of their final proposal revision.

Total Compensation Plan. The offeror's total compensation plan shall **not** be submitted with the initial business proposal. All offerors included in the competitive range will be required submit a total compensation plan as a part of their final proposal revision.

Subcontracting Plan. The offeror's Small Business Subcontracting Plan shall **not** be submitted with the initial business proposal. Only the apparent successful offeror will be required to submit **an acceptable** subcontracting plan.

Cost/Pricing Information. The offeror's business proposal shall include the basic cost/pricing information specified in Section L.2.c.(1) of this RFP. In addition, the Government may require offerors included in the competitive range to submit additional information substantiating their proposed costs or prices. This additional cost/pricing information will be requested after establishment of the competitive range, and potentially includes payroll documentation, vendor quotes, invoice prices, and/or any other information deemed necessary by the contracting officer to evaluate the reasonableness of the price or to determine cost realism. [The information may also include submission and certification of cost or pricing data.]

C. SIC CODE AND SIZE STANDARD

Note: The following information is to be used by the offeror in preparing its Representations and Certifications (See Attachment 7, of this RFP), specifically in completing the provision entitled, SMALL BUSINESS PROGRAM REPRESENTATION, FAR Clause 52.219-1.

- (1) The standard industrial classification (SIC) code for this acquisition is 8733.
- (2) The small business size standard is \$5M.

THIS REQUIREMENT IS NOT SET-ASIDE FOR SMALL BUSINESS. However, the Federal Acquisition Regulation (FAR) requires in every solicitation, (except for foreign acquisitions) the inclusion of the Standard Industrial Classification (SIC) Code and corresponding size standard which best describes the nature of the requirement in the solicitation.

D. NOTICE OF PRICE EVALUATION ADJUSTMENT FOR SMALL DISADVANTAGED BUSINESS CONCERNS

In accordance with FAR Clause 52.219-23, Notice of Price Evaluation Adjustment for Small Disadvantaged Business Concerns, incorporated in Section I.3., offerors will be evaluated by adding a factor of 10 percent to the price of all offers, except offers from small disadvantaged business concerns that have not waived the adjustment. (Note: A listing of other offerors who are excepted and will not have this evaluation factor added to their offer may be found in subparagraph (b) of FAR Clause 52.219-23.

A small disadvantaged business concern may elect to waive the adjustment, in which case the factor will be added to its offer for evaluation purposes. The agreements in paragraph (d) of FAR Clause 52.219-23 do not apply to offerors that waive the adjustment.

AN OFFEROR WHO ELECTS TO WAIVE THIS EVALUATION ADJUSTMENT MUST SPECIFICALLY INDICATE WITH A STATEMENT TO THIS EFFECT ON THE COVER PAGE OF ITS BUSINESS PROPOSAL.

E. TYPE OF CONTRACT AND NUMBER OF AWARD(S)

It is anticipated that ONE AWARD will be made from this solicitation and that the award will be made on/about DECEMBER 23, 2000.

It is anticipated that the award from this solicitation will be a multiple-year COST REIMBURSEMENT type COMPLETION contract with a TERM OF 3 YEARS, plus two-one-year options, and that incremental funding will be used [see Section L.2.c. Business Proposal Instructions].

F. ESTIMATE OF EFFORT

It is expected that a completion type contract will be awarded as a result of this RFP. To assist you in the preparation of your proposal, the Government considers the effort to be approximately as follows:

PERCENT EFFORT*

Labor Category	Year 1	Year 2	Year 3	Option Year 4	Option Year 5	Total
P.I./Other	61%	61%	61%	61%	61%	305%

Investigators						
Technical Support	670%	670%	670%	670%	670%	3,350%
Other Support**	347%	347%	347%	347%	347%	1,735%
Total	1,078%	1,078%	1,078%	1,078%	1,078%	5,390%

*100% effort = 2080 hrs. per year

**May includes such effort as: project assistants, programmers, and graduate students

OPTIONS FOR ADDITIONAL QUANTITIES (Increased effort, in addition to the above, to produce additional libraries):

PERCENT EFFORT

Labor Category	Years 1-3	Option Years 4-5	Total
Technical Support	350-400% total for all base years	600% total for both option years	950-1,000%

(See Statement of Work, Item IV. b) Option for Additional Quantities for more information.)

NOTE: THIS INFORMATION IS FURNISHED FOR THE OFFEROR'S INFORMATION ONLY AND IS NOT TO BE CONSIDERED RESTRICTIVE FOR PROPOSAL PURPOSES.

G. COMMITMENT OF PUBLIC FUNDS

The Contracting Officer is the only individual who can legally commit the Government to the expenditure of public funds in connection with the proposed procurement. Any other commitment, either explicit or implied, is invalid.

H. COMMUNICATIONS PRIOR TO CONTRACT AWARD

Offerors shall direct all communications to the attention of the Contract Specialist or Contracting Officer cited on the face page of this RFP. Communications with other officials may compromise the competitiveness of this acquisition and result in cancellation of the requirement.

I. RELEASE OF INFORMATION

Contract selection and award information will be disclosed to offerors in accordance with regulations applicable to negotiated acquisition. Prompt written notice will be given to unsuccessful offerors as they are eliminated from the competition, and to all offerors following award.

J. COMPARATIVE IMPORTANCE OF PROPOSALS

You are advised that paramount consideration shall be given to the evaluation of technical proposals. All evaluation factors other than cost or price, when combined, are **SIGNIFICANTLY MORE IMPORTANT THAN COST OR PRICE**. The relative importance of the evaluation factors is specified in Attachment 3 of this solicitation. However, the Government reserves the right to make an award to the best advantage of the Government, cost and other factors considered.

K. PREPARATION COSTS

This RFP does not commit the Government to pay for the preparation and submission of a proposal.

L. SERVICE OF PROTEST (AUGUST 1996) - FAR 52.233-2

- (a) Protests, as defined in section 33.101 of the Federal Acquisition Regulation, that are filed directly with an agency, and copies of any protests that are filed with the General Accounting Office (GAO), shall be served on the Contracting Officer (addressed as follows) by obtaining written and dated acknowledgment of receipt from:

Bruce E. Anderson
Contracting Officer
National Institute of Mental Health
Contracts Management Branch
6001 Executive Blvd., Rm. 6107 (MSC 9603)
Rockville, MD 20892-9603

- (b) The copy of any protest shall be received in the office designated above within one day of filing a protest with the GAO.

(End of Provision)

M. LATE PROPOSALS, MODIFICATIONS OF PROPOSAL, AND WITHDRAWALS OF PROPOSALS, PHS 352.215-10

Notwithstanding the procedures contained in the provision of this solicitation entitled Late Submissions, Modifications, and Withdrawals of Proposals, a proposal received after the date specified for receipt may be considered if it offers significant cost or technical advantages to the Government, and it was received before proposals were distributed for evaluation, or within five calendar days after the exact time specified for receipt, whichever is earlier.

(End of provision)

N. INVENTION REPORTING REQUIREMENT

All reports and documentation required by [FAR CLAUSE 52.227-11/FAR CLAUSE 52.227-11 (DEVIATION)/FAR CLAUSE 52.227-13] including, but not limited to, the invention disclosure report, the confirmatory license, and the government support certification, shall be directed to the Office of Extramural Inventions and Technology Resources Branch, OPERA, NIH, 6705 Rockledge Drive, Room 1140 A, MSC 7980, Bethesda, Maryland 20892-7980 (Telephone: 301-435-1986). In addition, one copy of the annual utilization report, and a copy of the final invention statement, shall be submitted to the Contracting Officer at the address listed below. The final invention statement (see FAR 27.303(a)(2)(ii)) shall be submitted within 90 days after contract expiration to the following address:

Bruce E. Anderson
Contracting Officer
National Institute of Mental Health
Contracts Management Branch
6001 Executive Blvd., Rm. 6107 (MSC 9603)
Rockville, MD 20892-9603

To assist contractors in complying with invention reporting requirements of the clause, the NIH has developed "Interagency Edison," an electronic invention reporting system. Use of Interagency Edison is encouraged as it streamlines the reporting process and greatly reduces paperwork. Access to the system is through a secure interactive Web site to ensure that all information submitted is protected. Interagency Edison and information relating to the capabilities of the system can be obtained from the Web (<http://www.iedison.gov>), or by contacting the Office of Extramural Inventions and Technology Resources Branch, OPERA, NIH.

ATTACHMENT 6 (Continued) [\[Return to Table of Attachments\]](#)
RFP No. NIMH-00-DB-0006

2. INSTRUCTIONS TO OFFERORS

a. **GENERAL INSTRUCTIONS**

INTRODUCTION

The following instructions will establish the acceptable minimum requirements for the format and contents of proposals. Special attention is directed to the requirements for technical and business proposals to be submitted in accordance with these instructions.

(1) Contract Type and General Clauses

It is contemplated that a cost-reimbursement completion type contract will be awarded. (See General Information) Any resultant contract shall include the clauses applicable to the selected offeror's organization and type of contract awarded as required by Public Law, Executive Order, or acquisition regulations in effect at the time of execution of the proposed contract.

(2) Authorized Official and Submission of Proposal

The proposal must be signed by an official authorized to bind your organization and must stipulate that it is predicated upon all the terms and conditions of this RFP. Your proposal shall be submitted in the number of copies, to the addressees, and marked as indicated in the Attachment entitled, PACKAGING AND DELIVERY OF PROPOSAL, Attachment 4 hereof. Proposals will be typewritten, paginated, reproduced on letter size paper and will be legible in all required copies. To expedite the proposal evaluation, all documents required for responding to the RFP should be placed in the following order:

I. COVER PAGE

Include RFP title, number, name of organization, identification of the proposal part, and indicate whether the proposal is an original or a copy.

II. TECHNICAL PROPOSAL

It is recommended that the technical proposal consist of a cover page, a table of contents, and the information requested in the Technical Proposal Instructions and as specified in Technical Proposal Instructions, below.

III. BUSINESS PROPOSAL

It is recommended that the business proposal consist of a cover page, a table of contents, and the information requested in the Business Proposal Instructions and as specified in Business Proposal Instructions, below.

(3) Proposal Summary and Data Record (NIH-2043)

The Offeror must complete the Form NIH-2043, attached, with particular attention to the length of time the proposal is firm and the designation of those personnel authorized to conduct negotiations. (See Attachment 7, form entitled, PROPOSAL SUMMARY AND DATA RECORD).

(4) Separation of Technical and Business Proposals

The proposal must be prepared in two parts: a "Technical Proposal" and a "Business Proposal." Each of the parts shall be separate and complete in itself so that evaluation of one may be accomplished independently of, and concurrently with, evaluation of the other. The technical proposal must include direct cost and resources information, such as labor-hours and categories and applicable rates, materials, subcontracts, travel, etc., and associated costs so that the offeror's understanding of the project may be evaluated (See Attachment 7, form entitled TECHNICAL PROPOSAL COST INFORMATION/SUMMARY OF LABOR AND DIRECT COSTS). However, the technical proposal should **not** include pricing data relating to individual salary information, indirect cost rates or amounts, fee amounts (if any), and total costs. The technical proposal should disclose your technical approach in as much detail as possible, including, but not limited to, the requirements of the technical proposal instructions.

(5) Alternate Proposals

You may, at your discretion, submit alternate proposals, or proposals which deviate from the requirements; provided, that you also submit a proposal for performance of the work as specified in the statement of work. Such proposals may be considered if overall performance would be improved or not compromised and if they are in the best interests of the Government. Alternative proposals, or deviations from any requirements of this RFP, shall be clearly identified.

(6) Confidentiality of Proposals--HHSAR 352.215-12, Restriction on Disclosure and Use of Data (April 1984)

The proposal submitted in response to this request for proposals may contain data (trade secrets; business data, e.g., commercial information, financial information, and cost and pricing data; and technical data) which the offeror, including its prospective subcontractor(s), does not want used or disclosed for any purpose other than for evaluation of the proposal. The use and disclosure of any data may be so restricted; **provided**, that the Government determines that the data is not required to be disclosed under the Freedom of Information Act, 5 U.S.C. 552, as amended, and the offeror

marks the cover sheet of the proposal with the following legend, specifying the particular portions of the proposal which are to be restricted in accordance with the conditions of the legend. The Government's determination to withhold or disclose a record will be based upon the particular circumstances involving the record in question and whether the record may be exempted from disclosure under the Freedom of Information Act:

Unless disclosure is required by the Freedom of Information Act, 5 U.S.C. 552, as amended, (the Act) as determined by Freedom of Information (FOI) Officials of the Department of Health and Human Services, data contained in the portions of this proposal which have been specifically identified by page number, paragraph, etc. by the offeror as containing restricted information shall not be used or disclosed except for evaluation purposes.

The offeror acknowledges that the Department may not be able to withhold a record (data, document, etc.) nor deny access to a record requested pursuant to the Act, and that the Department's FOI officials must make that determination. The offeror hereby agrees that the Government is not liable for disclosure if the Department has determined that disclosure is required by the Act.

If a contract is awarded to the offeror as a result of, or in connection with, the submission of this proposal; the Government shall have the right to use or disclose the data to the extent provided in the contract. Proposals not resulting in a contract remain subject to the Act.

The offeror also agrees that the Government is not liable for disclosure or use of unmarked data and may use or disclose the data for any purpose, including the release of the information pursuant to requests under the Act.

The data subject to this restriction are contained in pages (insert page numbers, paragraph designations, etc. or other identification)

In addition, the offeror should mark each page of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this page is subject to the restriction on the cover sheet of this proposal."

NOTE: Offerors are cautioned that proposals submitted with the restrictive legends or statements differing in substance from the above legend may not be considered for award. The Government reserves the right to reject any proposal submitted with a nonconforming legend.

(7) Evaluation of Proposals

The Government will evaluate technical proposals in accordance with the criteria set forth in Attachment 3 of this RFP.

(8) Potential Award Without Discussions

The Government reserves the right to award a contract without discussions if the Contracting Officer determines that the initial prices are fair and reasonable and that discussions are not necessary.

(9) Use of the Metric System of Measurement

It is the policy of the Department of Health and Human Services to support the Federal transition to the metric system and to use the metric system of measurement in all procurements, grants, and other business related activities unless such use is impracticable or is likely to cause significant inefficiencies.

The offeror is encouraged to prepare their proposal using either "Hard Metric," "Soft Metric," or "Dual Systems" of measurement. The following definitions are provided for your information:

Hard Metric - The replacement of a standard inch-pound size with an accepted metric size for a particular purpose. An example of size substitution might be: selling or packaging liquids by the liter instead of by the pint or quart (as for soft drinks), or instead of by the gallon (as for gasoline).

Soft Metric - The result of a mathematical conversion of inch-pound measurements to metric equivalents for a particular purpose. The physical characteristics are not changed.

Dual Systems - The use of both inch-pound and metric systems. For example, an item is designed, produced, and described in inch-pound values with soft metric values also shown for information or comparison purposes.

(10) Care of Live Vertebrate Animals

The following notice is applicable when contract performance is expected to involve care of live vertebrate animals:

Notice to Offerors of Requirement for Adequate Assurance of Protection of Vertebrate Animal Subjects - (SEPTEMBER 1985)

The Public Health Service (PHS) Policy on Human Care and Use of Laboratory Animals establishes a number of requirements for research activities involving animals. Before a PHS award may be made to an applicant organization, the organization shall file, with the Office for Protection from Research Risks (OPRR), Office of Laboratory Animal Welfare (OLAW), National Institutes of Health (NIH),

PHS, a written Animal Welfare Assurance which commits the organization to comply with the provisions of the PHS Policy on Humane Care and Use of Laboratory Animals by Awardee Institutions, the Animal Welfare Act, and the Guide for the Care and Use of Laboratory Animals prepared by the Institute of Laboratory Animal Resources. In accordance with the PHS Policy on Humane Care and Use of Laboratory Animals by Awardee Institutions, applicant organizations must establish a committee, qualified through the experience and expertise of its members, to oversee the institution's animal program, facilities and procedures. No PHS award involving the use of animals shall be made unless the Animal Welfare Assurance has been approved by OPRR. Prior to award, the Contracting Officer will notify Contractor(s) selected for projects that involve live vertebrate animals that an Animal Welfare Assurance is required. The Contracting Officer will request that OPRR, OLAW negotiate an acceptable Animal Welfare Assurance with those Contractor(s). For further information, OPRR, OLAW, may be contacted at Rockledge Center I - Suite 1050, 6705 Rockledge Drive, Bethesda, MD 20817, (301) 496-7163, ext 234. FAX copies of the PHS Policy are available at (301) 402-2803. This policy is also available on the internet at <http://www.nih.gov/80/grants/olaw/olaw.htm>.

(11) Privacy Act

The Privacy Act of 1974 (P.L. 93-579) requires that a Federal agency advise each individual whom it asks to supply information, the authority which authorizes the solicitation, whether disclosure is voluntary or mandatory, the principal purpose or purposes for which the information is intended to be used, the uses outside the agency which may be made of the information, and the effects on the individual, if any, of not providing all or any part of the requested information.

The NIH is requesting the information called for in this RFP pursuant to the authority provided by Sec. 301(a)(7) of the Public Health Service Act, as amended, and P.L. 92-218, as amended.

Providing the information requested is entirely voluntary. The collection of this information is for the purpose of conducting an accurate, fair, and adequate review prior to a discussion as to whether to award a contract.

Failure to provide any or all of the requested information may result in a less than adequate review.

In addition, the Privacy Act of 1974 (P.L. 93-579, Section 7) requires that the following information be provided when individuals are requested to disclose their social security number.

Provision of the social security number is voluntary. Social security numbers are requested for the purpose of accurate and efficient identification, referral, review and management of NIH contracting programs. Authority for requesting this information is provided by Section 301 and Title IV of the PHS Act, as amended.

The information provided by you may be routinely disclosed for the following purposes:

- to the cognizant audit agency and the General Accounting Office for auditing.
- to the Department of Justice as required for litigation.
- to respond to congressional inquiries.
- to qualified experts, not within the definition of Department employees, for opinions as a part of the review process.

(12) Selection of Offerors

- a) The acceptability of the scientific and technical portion of each research contract proposal will be evaluated by a technical review committee. The committee will evaluate each proposal in strict conformity with the evaluation criteria of the RFP, utilizing point scores and written critiques. The committee may suggest that the Contracting Officer request clarifying information from an offeror.
- b) The business portion of each contract proposal will be subjected to a cost and price analysis, management analysis, etc.
- c) If award will be made without conducting discussions, offerors may be given the opportunity to clarify certain aspects of their proposal (e.g., the relevance of an offeror's past performance information and adverse past performance information to which the offeror has not previously had an opportunity to respond) or to resolve minor or clerical errors.
- d) If the Government intends to conduct discussions prior to awarding a contract-

- (1) Communications will be held with offerors whose past performance information is the determining factor preventing them from being placed within the competitive range. Such communications shall address adverse past performance information to which an offeror has not had a prior opportunity to respond. Also, communications may be held with any other offerors whose exclusion from, or inclusion in, the competitive range is uncertain.

Such communications shall not be used to cure proposal deficiencies or omissions that alter the technical or cost elements of the proposal, and/or otherwise revise the proposal, but may be considered in rating proposals for the purpose of establishing the competitive range.

- (2) The Contracting Officer will, in concert with program staff, decide which proposals are in the competitive range. The competitive range will be comprised of all of the most highly rated proposals. Oral or written discussions will be conducted with all offerors in the competitive range.

While it is NIMH's policy to conduct discussions with all offerors in the competitive range, NIMH reserves the right, in special circumstances, to limit the number of proposals included in the competitive range to the greatest number that will permit an efficient competition. All aspects of the proposals are subject to discussions, including cost, technical approach, past performance, and contractual terms and conditions. At the conclusion of discussions, each offeror still in the competitive range shall be given an opportunity to submit a written Final Proposal Revision (FPR) with the reservation of the right to conduct limited negotiations after Final Proposal Revisions (FPRs) in accordance with HHSAR 315.670.

- e) The process described in FAR 15.101-1 will be employed, which permits the Government to make tradeoffs among cost or price and non-cost factors and to consider award to other than the lowest price offeror or other than the highest technically rated offeror. This process will take into consideration the results of the technical evaluation, the past performance evaluation (if applicable) and the cost analysis.
- f) The NIMH reserves the right to make a single award, multiple awards, or no award at all to the RFP. In addition, the RFP may be amended or canceled as necessary to meet NCI requirements. Synopses of awards exceeding \$25,000 will be published in the Commerce Business Daily.

(13) Small Business Subcontracting Plan

****** This document is INCLUDED in the "Just In Time" procedures. Specific instructions for the submission of this document are outlined in SECTION L.1.a. of this RFP. ******

If the proposed contract exceeds a total estimated cost of \$500,000 for the entire period of performance, the offeror shall be required to submit an acceptable subcontracting plan in accordance with the terms of the clause entitled "Small Business Subcontracting Plan," FAR Clause No. 52.219-9, incorporated herein by reference in the Solicitation. In Attachment 7 to this RFP is an example of such a plan.

- a) THIS PROVISION DOES NOT APPLY TO SMALL BUSINESS CONCERNS.
- b) The term "subcontract" means any agreement (other than one involving an employer-employee relationship) entered into by a Federal Government prime Contractor or subcontractor calling for supplies or services required for the performance of the original contract or subcontract. This includes, but is not limited to, agreements/purchase orders for supplies and services such as equipment purchase, copying services, and travel services.
- c) The offeror understands that:

- (1) No contract will be awarded unless and until an acceptable plan is negotiated with the Contracting Officer which plan will be incorporated into the contract, as a material part thereof.
 - (2) An acceptable plan must, in the determination of the Contracting Officer, provide the maximum practicable opportunity for small business concerns and small business concerns owned and controlled by socially and economically disadvantaged persons to participate in the performance of the contract.
 - (3) If a subcontracting plan acceptable to the Contracting Officer is not negotiated within the time limits prescribed by the contracting activity and such failure arises out of causes within the control and with the fault or negligence of the offeror, the offeror shall be ineligible for an award. The Contracting Officer shall notify the Contractor in writing of the reasons for determining a subcontracting plan unacceptable early enough in the negotiation process to allow the Contractor to modify the plan within the time limits prescribed.
 - (4) Prior compliance of the offeror with other such subcontracting plans under previous contracts will be considered by the Contracting Officer in determining the responsibility of the offeror for award of the contract.
 - (5) It is the offeror's responsibility to develop a satisfactory subcontracting plan with respect to small business concerns, small business concerns owned and controlled by socially and economically disadvantaged individuals, and women-owned small business concerns and that each such aspect of the offeror's plan will be judged independent of the other.
 - (6) The offeror will submit, as required by the Contracting Officer, subcontracting reports in accordance with the instructions thereon, and as further directed by the Contracting Officer. Subcontractors will also submit these reports to the Government's Contracting Officer or as otherwise directed, with a copy to the prime Contractor's designated small and disadvantaged business liaison.
- d) Each plan must contain the following:
- (1) Goals, expressed in terms of percentages of total planned subcontracting dollars, for the use of Small, small disadvantaged, women-owned, and HUBZone small business concerns as subcontractors.
 - (2) A statement of total dollars planned to be subcontracted. A statement of total dollars to be subcontracted to each of the following type of small business

concerns: Small, Small Disadvantaged, Women-Owned, and HUBZone Small Businesses.

- (3) A description of the principal types of supplies and services to be subcontracted with an identification of which supplies and services are expected to be subcontracted to small, small disadvantaged, women-owned, and/or HUBZone small business concerns.
- (4) A description of the method used to develop the subcontracting goals.
- (5) A description of the method used to identify potential sources for solicitation purposes.
- (6) A statement as to whether or not indirect costs were included in establishing subcontracting goals. If they were, a description of the method used to determine the proportionate share of indirect costs to be incurred with small, small disadvantaged, women-owned, and HUBZone small business concerns.
- (7) The name of the individual employed by the offeror who will administer the offeror's subcontracting program and a description of his/her duties.
- (8) A description of the efforts the offeror will make to assure that small, small disadvantaged, women-owned, and HUBZone small business concerns have an equitable chance to compete for subcontracts.
- (9) Assurances that the offeror will include in all subcontracts the contract clause "Utilization of Small Business Concerns." Assure that all subcontractors, other than small businesses, in excess of \$500,000 adopt a plan similar to the plan agreed upon by the offeror.
- (10) Assurances that the offeror (and any required subcontractors) will cooperate in studies or surveys as required and submit required reports (SF 294 and SF 295) to the Government.
- (11) List the types of records the offeror will maintain to demonstrate procedures that have been adopted to comply with the requirement and goals in the plan, including establishing source lists. Also, the offeror shall describe its efforts to locate small, small disadvantaged, women-owned, and HUBZone small business concerns and award subcontracts to them.

For additional information about each of the above elements required to be contained the subcontracting plan, see FAR Clause 52.219-9, Small Business Subcontracting Plan, and the Sample Subcontracting Plan which is provided in Attachment 7 to this RFP.

(14) **HUBZone Small Business Concerns**

Small Business offerors located in underutilized business zones, called "HUBZones," will be evaluated in accordance with FAR Clause 52.219-4, NOTICE OF PRICE EVALUATION PREFERENCE FOR HUBZONE SMALL BUSINESS CONCERNS, which is incorporated by reference in ARTICLE I.3. of this solicitation. Qualified HUBZone firms are identified in the Small Business Administration website at <http://www.sba.gov/hubzone>.

(15) **Extent of Small Disadvantaged Business Participation**

In accordance with FAR Subpart 15.304(c)(4), the extent of participation of Small Disadvantaged Business (SDB) concerns in performance of the contract in the authorized SIC Major Groups shall be evaluated in unrestricted competitive acquisitions expected to exceed \$500,000 (\$1,000,000 for construction) subject to certain limitations (see FAR 19.1202-1 and 19.1202-2(b)). The dollar amounts cited above include any option years/option quantities that may be included in this solicitation. The definition of a "small disadvantaged business" is cited in FAR 19.001.

The factor entitled "Extent of Small Disadvantaged Business Participation" as set forth under the Evaluation Criteria in Attachment 3 shall be used for evaluation purposes. Credit under this evaluation factor is not available to SDB concerns that receive a Price Evaluation Adjustment (PEA) under FAR 19.11. Therefore, an SDB will be evaluated on this factor only if that SDB concern waives the PEA. **Waiver of the price evaluation adjustment shall be clearly stated in the proposal.**

The Department of Commerce determines, on an annual basis, by Major Groups, as contained in the Standard Industrial Classification (SIC) Manual, and region, if any, the authorized SDB procurement mechanisms and applicable factors (percentages). The SIC codes can be found at:

<http://www.sba.gov/regulations/siccodes/siccodes.pdf>

or

<http://www.sba.gov/regulations/siccodes/siccodes.doc>

The Department of Commerce website for the annual determination is:

<http://www.arnet.gov/References/sdbadjustments.htm> .

Offerors shall include with their offers, SDB targets, expressed as dollars and percentages of total contract value, in each of the applicable, authorized SIC Major Group(s). The applicable authorized SIC Major Group(s) for this project is (are) identified elsewhere in this RFP. A total target for SDB participation by the prime contractor, that includes any joint ventures and team members, shall be provided as well as a total target for SDB participation by subcontractors. In addition, offerors must provide information that describes their plans for meeting the targets set forth in their proposal. **This information shall be provided in one clearly marked section of the Business Proposal, which shall describe the extent of participation of SDB concerns in the performance of the contract.**

If the evaluation factor in this solicitation includes an SDB evaluation factor or subfactor that considers the extent to which SDB concerns are specifically identified, the SDB concerns considered in the evaluation shall be listed in any resultant contract. Offerors should note that addressing the extent of small disadvantaged business participation **is not in any way intended to be a substitute** for submission of the subcontracting plan, if it is required by this solicitation. An example of the type of information that might be given (in addition to the narrative describing the plan for meeting the targets) follows:

EXAMPLE

Targets for SDB Participation - SIC Major Group 87

	SDB Percentage of Total Contract Value	SDB Dollars
Total Contract Value- \$1,000,000	25%	\$250,000
SDB Participation by Prime	10%	\$100,000
(Includes joint venture partners and team arrangements)*		
SDB Participation by subcontractors	15%	\$150,000

*Note: FAR Subpart 9.6 defines “Contractor team arrangements” to include two or more companies forming a partnership or joint venture to act as a potential prime contractor, or a potential prime contractor who agrees with one or more companies to have them act as its subcontractors on a specific contract or acquisition program. For purposes of evaluation of the SDB participation factor, FAR 19.1202-4 requires that SDB joint ventures and teaming arrangements at the prime level be presented separately from SDB participation by subcontractors.

(16) **Reimbursement of Costs for Independent Research and Development Projects (Commercial Organizations Only)**

The primary purpose of the Public Health Service (PHS) is to support and advance independent research within the scientific community. This support is provided in the form of contracts and grants totaling approximately 7 billion dollars annually. PHS has established effective, time tested and well recognized and accepted procedures for stimulating and supporting this independent research by selecting from multitudes of proposals those research projects most worthy of support within the constraints of its appropriations. The reimbursement of independent research and development costs

not incidental to product improvement, through the indirect cost mechanism, would circumvent this competitive process.

To ensure that all research and development projects receive similar and equal consideration, all offerors may compete for direct funding for independent research and development projects they consider worthy of support by submitting those projects to the appropriate Public Health Service grant and/or contract office for review. Since these projects may be submitted for direct funding, the successful offeror agrees that no costs for any independent research and development project, including applicable indirect costs, will be claimed under any contract resulting from this solicitation.

(17) Salary Rate Limitation in Fiscal Year 2000

Offerors are advised that pursuant to P.L. 106-113, no NIH Fiscal Year 2000 (October 1, 1999 - September 30, 2000) funds may be used to pay the direct annual salary of an individual through any contract awarded as a result of this solicitation at a rate in excess of the Executive Schedule, Level II* (direct salary is exclusive of Overhead, Fringe Benefits and General and Administrative expenses). This does not preclude the offeror from absorbing that portion of an employee's annual salary (plus the dollar amount for fringe benefits and associated indirect costs) that exceeds a rate of the Executive Schedule, Level II*. The salary rate limitation set by P.L. 106-113 applies only to Fiscal Year 2000 funds, however, salary rate ceilings for subsequent years may be included in future DHHS appropriation acts. Multi-year contracts awarded pursuant to this solicitation may be subject to unilateral modifications by the Government if an individual's annual salary exceeds any salary rate ceiling established in future appropriations acts. The Executive Schedule, Level II* annual salary rate limit also applies to individuals proposed under subcontracts. P.L. 106-113 states in pertinent part:

"None of the funds appropriated in this Act for the National Institutes of Health and the Substance Abuse, and Mental Health Services Administration shall be used to pay the salary of an individual through a grant or extramural mechanism at a rate in excess of Executive Level II."

***This rate may change periodically. For your information, the rate can be found at: <http://www.opm.gov/oca/2000tbls/Execses/html/execsched.htm>**

(18) Institutional Responsibility Regarding Conflicting Interests of Investigators

EACH INSTITUTION MUST:

- (a) Maintain an appropriate written, enforced policy on conflict of interest that complies with 42 CFR Part 50 Subpart F and/or 45 CFR Part 94 as appropriate and inform each investigator of the Institution's policy, the Investigator's reporting

responsibilities, and the applicable regulations. If the Institution carries out the NIH funded research through subgrantees, contractors or collaborators, the Institution must take reasonable steps to ensure that Investigators working for such entities comply with the regulations, either by requiring those investigators to comply with the Institution's policy or by requiring the entities to provide assurances to the Institution that will enable the Institution to comply with the regulations.

- (b) Designate an Institutional official(s) to solicit and review financial disclosure statements from each Investigator who is planning to participate in NIH-funded research.
- (c) Require that by the time an application/proposal is submitted to the NIH each investigator who is planning to participate in the NIH-funded research has submitted to the designated official(s) a listing of his/her known Significant Financial Interests (and those of his/her spouse and dependent children): (i) that would reasonably appear to be affected by the research for which the NIH funding is sought; and (ii) in entities whose financial interests would reasonably appear to be affected by the research. All financial disclosures must be updated during the period of the award, either on an annual basis or as new reportable Significant Financial Interests are obtained.
- (d) Provide guidelines consistent with the regulations for the designated official(s) to identify conflicting interests and take such actions as necessary to ensure that such conflicting interests will be managed, reduced, or eliminated.
- (e) Maintain records, identifiable to each award, of all financial disclosures and all actions taken by the institution with respect to each conflicting interest for: (1) in the case of grants, at least three years from the date of submission of the final expenditures report or, where applicable, from other dates specified in 45 CFR Part 74.53(b) and (2) in the case of contracts, 3 years after final payment or, where applicable, for the other time period specified in 48 CFR Part 4 Subpart 4.7, Contract Records Retention.
- (f) Establish adequate enforcement mechanisms and provide for sanctions where appropriate.
- (g) Certify, in each application/proposal for funding to which the regulations applies, that:
 - 1) there is in effect at the Institution a written and enforced administrative process to identify and manage, reduce or eliminate conflicting interests with respect to all research projects for which funding is sought from the NIH;
 - 2) prior to the Institution's expenditure of any funds under the award, the Institution will report to the awarding component the existence of a

conflicting interest (but not the nature of the interest or other details) found by the Institution and assure that the interest has been managed, reduced or eliminated in accord with the regulations; and for any interest that the Institution identifies as conflicting subsequent to the expenditure of funds after award, the report will be made and the conflicting interest managed, reduced, or eliminated, at least on a temporary basis within sixty days of that identification;

- 3) the Institution agrees to make information available, upon request, to the awarding component regarding all conflicting interests identified by the Institution and how those interested have been managed, reduced, or eliminated to protect the research from bias; and
- 4) the Institution will otherwise comply with the regulations.

(19) Institutional Management of Conflicting Interests

- (a) The designated official(s) must: (1) review all financial disclosures; and (2) determine whether conflict of interest exists, and if so, determine what actions should be taken by the Institution to manage, reduce or eliminate such conflict of interest. **A conflict of interest exists when the designated official(s) reasonably determines that a Significant Financial Interest could directly and significantly affect the design, conduct, or reporting of the NIH-funded research.**

Examples of conditions or restrictions that might be imposed to manage actual or potential conflicts of interests include, but are not limited to:

- (i) public disclosure of significant financial interests;
 - (ii) monitoring of research by independent reviewers;
 - (iii) modification of the research plan;
 - (iv) disqualification of the Investigator(s) from participation in all or a portion of the research funded by the awarding component;
 - (v) divestiture of significant financial interests; or
 - (vi) severance of relationships that create actual or potential conflicts of interests.
- (b) An Institution may require the management of other conflicting financial interests in addition to those described in paragraph (a) of this section, as the Institution deems appropriate.

(20) ROTC Access and Federal Military Recruiting on Campus

Section 514 of the FY 1997 Appropriations Act prohibits NIH from providing contract funds to educational institutions that the Secretary of Defense determines have a policy or practice (regardless of when implemented) that either prohibits, or in effect prevents (1) the maintaining, establishing, or operation of a unit of the Senior Reserve

Officer Training Corps at the covered education entity; or (2) a student at the covered educational entity from enrolling in a unit of the Senior Reserve Officer Training Corps at another institution of higher education.

Further, contract funds may not be provided to educational institutions that have a policy or practice that prohibits or prevents (1) entry to campuses, or access to students (who are 17 years of age or older) on campuses, for purposes of Federal military recruiting; or (2) access by military recruiters for purposes of Federal military recruiting to information pertaining to students (who are 17 years of age or older) enrolled at the covered educational entity.

(21) Past Performance Information

- a) Offerors shall submit the following information as part of their BUSINESS proposal.

A list of ALL contracts completed during the past THREE years and ALL CONTRACTS/AWARDS currently in progress that are similar in nature to the solicitation workscope. Contracts listed may include those entered into by the Federal Government, agencies of state and local governments and commercial concerns. Offerors that are newly formed entities without prior contracts should list contracts and subcontracts as required above for all key personnel.

Include the following information for each contract or subcontract:

1. Name of Contracting Organization
2. Contract Number (for subcontracts, provide the prime contract number and the subcontract number)
3. Contract Type
4. Total Contract Value
5. Description of Requirement
6. Contracting Officer's Name and Telephone Number
7. Program Manager's Name and Telephone Number
8. Standard Industrial Code

The offeror shall submit comparable information on all subcontractors that the offeror proposes to perform a major subcontract under this effort. For the purpose of this solicitation, a "major subcontract" is defined as >\$500,000.

The offeror may provide information on problems encountered on the identified contracts and the offeror's corrective actions.

- b) Each offeror will be evaluated on its performance under existing and prior contracts for similar products or services. The Government is not required to contact all references provided by the offeror. Also, references other than those

identified by the offeror may be contacted by the Government to obtain additional information that will be used in the evaluation of the offeror's past performance.

(22) Solicitation Provisions Incorporated by Reference, FAR 52.252-1 (February 1998)

This Solicitation incorporates one or more solicitation provisions by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. The offeror is cautioned that the listed provisions may include blocks that must be completed by the offeror and submitted with its quotation or offer. In lieu of submitting the full text provisions, the offeror may identify the provision by paragraph identifier and provide the appropriate information with its quotation or offer. Also, the full text of a solicitation provision may be accessed electronically at this address: <http://www.arnet.gov/far/>.

FEDERAL ACQUISITION REGULATION (48 CFR CHAPTER 1):

- 1) Submission of Offers in the English Language, FAR Clause 52.214-34, (April 1991).
- 2) Submission of Offers in U.S. Currency, FAR Clause 52.214-35, (April 1991).
- 3) Facilities Capital Cost of Money, FAR Clause 52.215-16, (October 1997).
- 4) Order of Precedence-Uniform Contract Format, FAR Clause 52.215-8, (October 1997).
- 5) Preaward On-Site Equal Opportunity Compliance Evaluation, (Over \$10,000,000), FAR Clause 52.222-24, (February 1999).

2. INSTRUCTIONS TO OFFERORS

b. TECHNICAL PROPOSAL INSTRUCTIONS

A detailed work plan must be submitted indicating how each aspect of the statement of work is to be accomplished. Your technical approach should be in as much detail as you consider necessary to fully explain your proposed technical approach or method. The technical proposal should reflect a clear understanding of the nature of the work being undertaken. The technical proposal must include information on how the project is to be organized, staffed, and managed. Information should be provided which will demonstrate your understanding and management of important events or tasks.

(1) Technical Discussions

The technical discussion included in the technical proposal should respond to the items set forth below:

a) Statement of Work

(1) Objectives

State the overall objectives and the specific accomplishments you hope to achieve. Indicate the rationale for your plan, and relation to comparable work in progress elsewhere. Review pertinent work already published which is relevant to this project and your proposed approach. This should support the scope of the project as you perceive it.

(2) Approach

Use as many subparagraphs, appropriately titled, as needed to clearly outline the general plan of work. Discuss phasing of research and, if appropriate, include experimental design and possible or probable outcome of approaches proposed.

(3) Methods

Describe in detail the methodologies you will use for the project, indicating your level of experience with each, areas of anticipated difficulties, and any unusual expenses you anticipate.

(4) Schedule

Provide a schedule for completion of the work and delivery of items specified in the statement of work. Performance or delivery schedules shall be indicated for phases or segments, as applicable, as well as for the overall program. Schedules shall be shown in terms of calendar months from the date of authorization to proceed or, where applicable, from the date of a stated event, as for example, receipt of a required approval by the Contracting Officer. Unless the request for proposal indicates that the stipulated schedules are mandatory, they shall be treated as desired or recommended schedules. In this event, proposals based upon the offeror's best alternative schedule, involving no overtime, extra shift or other premium, will be accepted for consideration.

b) Personnel

Describe the experience and qualifications of personnel who will be assigned for direct work on this program. Information is required which will show the composition of the task or work group, its general qualifications, and recent experience with similar equipment or programs. Special mention shall be made of direct technical supervisors and key technical personnel, and the approximate percentage of the total time each will be available for this program.

(1) Principal Investigator/Project Director

List the name of the Principal Investigator/Project Director responsible for overall implementation of the contract and key contact for technical aspects of the project. Even though there may be co-investigators, identify the Principal Investigator/Project Director who will be responsible for the overall implementation of any awarded contract. Discuss the qualifications, experience, and accomplishments of the Principal Investigator/Project Director. State the estimated time to be spent on the project, his/her proposed duties, and the areas or phases for which he/she will be responsible.

(2) Other Investigators

List all other investigators/professional personnel who will be participating in the project. Discuss the qualifications, experience, and accomplishments. State the estimated time each will spend on the project, proposed duties on the project, and the areas or phases for which each will be responsible.

(3) Additional Personnel

List names, titles, and proposed duties of additional personnel, if any, who will be required for full-time employment, or on a subcontract or consultant basis. The technical areas, character, and extent of subcontract or consultant activity will be indicated and the anticipated sources will be specified and qualified. For all proposed personnel who are not currently members of the

offeror's staff, a letter of commitment or other evidence of availability is required. A resume does not meet this requirement. Commitment letters for use of consultants and other personnel to be hired must include:

- The specific items or expertise they will provide.
- Their availability to the project and the amount of time anticipated.
- Willingness to act as a consultant.
- How rights to publications and patents will be handled.

(4) Resumes

Resumes of all key personnel are required. Each must indicate educational background, recent experience, specific or technical accomplishments, and a listing of relevant publications.

(2) **Technical Evaluation**

Proposals will be technically evaluated in accordance with the factors, weights, and order of relative importance as described in the Technical Evaluation Criteria (Attachment 3, hereof).

(3) **Additional Technical Proposal Information**

- a) Proposals which merely offer to conduct a program in accordance with the requirements of the Government's scope of work will not be eligible for award. The offeror must submit an explanation of the proposed technical approach in conjunction with the tasks to be performed in achieving the project objectives.
- b) The technical evaluation is conducted in accordance with the weighted technical evaluation criteria by an initial review panel. This evaluation produces a numerical score (points) which is based upon the information contained in the offeror's proposal only.

(4) **Other Considerations**

Record and discuss specific factors not included elsewhere which support your proposal. Using specifically titled subparagraphs, items may include:

- a) Any agreements and/or arrangements with subcontractor(s). Provide as much detail as necessary to explain how the statement of work will be accomplished within this working relationship.
- b) Unique arrangements, equipment, etc., which none or very few organizations are likely to have which is advantageous for effective implementation of this project.

- c) Equipment and unusual operating procedures established to protect personnel from hazards associated with this project.
- d) Other factors you feel are important and support your proposed research.
- e) Recommendations for changing reporting requirements if such changes would be more compatible with the offeror's proposed schedules.

2. INSTRUCTIONS TO OFFERORS

c. BUSINESS PROPOSAL INSTRUCTIONS

(1) Basic Cost/Price Information

The business proposal must contain sufficient information to allow the Government to perform a basic analysis of the proposed cost or price of the work. This information shall include the amounts of the basic elements of the proposed cost or price. These elements will include, as applicable, direct labor, fringe benefits, travel, materials, subcontracts, purchased parts, shipping, indirect costs and rate, fee, and profit.

(2) Cost and Pricing Data

**** *This document is INCLUDED in the "Just In Time" procedures. Specific instructions for the submission of this document are outlined in SECTION L.1.a. of this RFP.* ****

1. General Instructions

A. You must provide the following information on the first page of your pricing proposal:

- (1) Solicitation, contract, and/or modification number;
- (2) Name and address of offeror;
- (3) Name and telephone number of point of contact;
- (4) Name of contract administration office (if available);
- (5) Type of contract action (that is, new contract, change order, price revision/redetermination, letter contract, unpriced order, or other);
- (6) Proposed cost; profit or fee; and total;
- (7) Whether you will require the use of Government property in the performance of the contract, and, if so, what property;
- (8) Whether your organization is subject to cost accounting standards; whether your organization has submitted a CASB Disclosure Statement, and if it has been determined adequate; whether you have been notified that you are or may be in noncompliance with your Disclosure Statement or CAS, and, if yes, an explanation; whether any aspect of this proposal is inconsistent with your disclosed practices or applicable CAS, and, if so, an explanation; and whether the proposal is consistent with your established estimating and accounting principles and

procedures and FAR Part 31, Cost Principles, and, if not, an explanation;

- (9) The following statement: This proposal reflects our estimates and/or actual costs as of this date and conforms with the instructions in FAR 15.403-5(b)(1) and Table 15-2. By submitting this proposal, we grant the Contracting Officer and authorized representative(s) the right to examine, at any time before award, those records, which include books, documents, accounting procedures and practices, and other data, regardless of type and form or whether such supporting information is specifically referenced or included in the proposal as the basis for pricing, that will permit an adequate evaluation of the proposed price;

- (10) Date of submission; and

- (11) Name, title and signature of authorized representative.

- B. In submitting your proposal, you must include an index, appropriately referenced, of all the cost or pricing data and information accompanying or identified in the proposal. In addition, you must annotate any future additions and/or revisions, up to the date of agreement on price, or an earlier date agreed upon by the parties, on a supplemental index.
- C. As part of the specific information required, you must submit, with your proposal, cost or pricing data (that is, data that are verifiable and factual and otherwise as defined at FAR 15.401). You must clearly identify on your cover sheet that cost or pricing data are included as part of the proposal. In addition, you must submit with your proposal any information reasonably required to explain your estimating process, including--
 - (1) The judgmental factors applied and the mathematical or other methods used in the estimate, including those used in projecting from known data; and
 - (2) The nature and amount of any contingencies included in the proposed price.
- D. You must show the relationship between contract line item prices and the total contract price. You must attach cost-element breakdowns for each proposed line item, using the appropriate format prescribed in the "Formats for Submission of Line Item Summaries" section of this table. You must furnish supporting breakdowns for each cost element, consistent with your cost accounting system.
- E. When more than one contract line item is proposed, you must also provide summary total amounts covering all line items for each element of cost.
- F. Whenever you have incurred costs for work performed before submission of a proposal, you must identify those costs in your cost/price proposal.

- G. If you have reached an agreement with Government representatives on use of forward pricing rates/factors, identify the agreement, include a copy, and describe its nature.
- H. As soon as practicable after final agreement on price or an earlier date agreed to by the parties, but before the award resulting from the proposal, you must, under the conditions stated in FAR 15.406-2, submit a Certificate of Current Cost or Pricing Data.

2. **Cost Elements**

Depending on your system, you must provide breakdowns for the following basic cost elements, as applicable:

- A. **Materials and services.** Provide a consolidated priced summary of individual material quantities included in the various tasks, orders, or contract line items being proposed and the basis for pricing (vendor quotes, invoice prices, etc.). Include raw materials, parts, components, assemblies, and services to be produced or performed by others. For all items proposed, identify the item and show the source, quantity, and price. Conduct price analyses of all subcontractor proposals. Conduct cost analyses for all subcontracts when cost or pricing data are submitted by the subcontractor. Include these analyses as part of your own cost or pricing data submissions for subcontracts expected to exceed the appropriate threshold in FAR 15.403-4. Submit the subcontractor cost or pricing data as part of your own cost or pricing data as required in paragraph 2.A(2) of this table. These requirements also apply to all subcontractors if required to submit cost or pricing data.
 - (1) *Adequate Price Competition.* Provide data showing the degree of competition and the basis for establishing the source and reasonableness of price for those acquisitions (such as subcontracts, purchase orders, material order, etc.) exceeding, or expected to exceed, the appropriate threshold set forth at FAR 15.403-4 priced on the basis of adequate price competition. For interorganizational transfers priced at other than the cost of comparable competitive commercial work of the division, subsidiary, or affiliate of the contractor, explain the pricing method (see FAR 31.205-26(e)).
 - (2) *All Other.* Obtain cost or pricing data from prospective sources for those acquisitions (such as subcontracts, purchase orders, material order, etc.) exceeding the threshold set forth in FAR 15.403-4 and not otherwise exempt, in accordance with FAR 15.403-1(b) (i.e., adequate price competition, commercial items, prices set by law or regulation or waiver). Also provide data showing the basis for establishing source and reasonableness of price. In addition, provide a summary of your

cost analysis and a copy of cost or pricing data submitted by the prospective source in support of each subcontract, or purchase order that is the lower of either \$10,000,000 or more, or both more than the pertinent cost or pricing data threshold and more than 10 percent of the prime contractor's proposed price. The Contracting Officer may require you to submit cost or pricing data in support of proposals in lower amounts. Subcontractor cost or pricing data must be accurate, complete and current as of the date of final price agreement, or an earlier date agreed upon by the parties, given on the prime contractor's Certificate of Current Cost or Pricing Data. The prime contractor is responsible for updating a prospective subcontractor's data. For standard commercial items fabricated by the offeror that are generally stocked in inventory, provide a separate cost breakdown, if priced based on cost. For interorganizational transfers priced at cost, provide a separate breakdown of cost elements. Analyze the cost or pricing data and submit the results of your analysis of the prospective source's proposal. When submission of a prospective source's cost or pricing data is required as described in this paragraph, it must be included along with your own cost or pricing data submission, as part of your own cost or pricing data. You must also submit any other cost or pricing data obtained from a subcontractor, either actually or by specific identification, along with the results of any analysis performed on that data.

- B. **Direct Labor.** Provide a time-phased (e.g., monthly, quarterly, etc.) breakdown of labor hours, rates, and cost by appropriate category, and furnish bases for estimates.
- C. **Indirect Costs.** Indicate how you have computed and applied your indirect costs, including cost breakdowns. Show trends and budgetary data to provide a basis for evaluating the reasonableness of proposed rates. Indicate the rates used and provide an appropriate explanation.
- D. **Other Costs.** List all other costs not otherwise included in the categories described above (e.g., special tooling, travel, computer and consultant services, preservation, packaging and packing, spoilage and rework, and Federal excise tax on finished articles) and provide bases for pricing.
- E. **Royalties.** If royalties exceed \$1,500, you must provide the following information on a separate page for each separate royalty or license fee:
 - (1) Name and address of licensor.
 - (2) Date of license agreement.
 - (3) Patent numbers.
 - (4) Patent application serial numbers, or other basis on which the royalty is payable.

- (5) Brief description (including any part or model numbers of each contract item or component on which the royalty is payable).
- (6) Percentage or dollar rate of royalty per unit.
- (7) Unit price of contract item.
- (8) Number of units.
- (9) Total dollar amount of royalties.
- (10) If specifically requested by the Contracting Officer, a copy of the current license agreement and identification of applicable claims of specific patents (see FAR 27.204 and 31.205-37).

F. **Facilities Capital Cost of Money.** When you elect to claim facilities capital cost of money as an allowable cost, you must submit Form CASB-CMF and show the calculation of the proposed amount (see FAR 31.205-10).

3. **Formats for Submission of Line Item Summaries**

The detailed breakdown shall be in the format as shown on the form **Breakdown of Proposed Estimated Cost (plus fee) and Labor Hours** (Attachment 7). For each separate cost estimate, the offeror must furnish a breakdown by cost element as indicated above. In addition, summary total amounts shall be furnished. In the event the RFP cites specific line items, by number, a cost breakdown for each line item must be furnished.

To assist in the preparation of future cost estimates, the Projected Consumer Price Index may be accessed at: <http://amb.nci.nih.gov/cpi.htm>

- 4. There is a clear distinction between submitting cost or pricing data and merely making available books, records, and other documents without identification. The requirement for submission of cost or pricing data is met when all accurate cost or pricing data reasonably available to the offeror have been submitted, either actually or by specific identification, to the Contracting Officer or an authorized representative. As later information comes into your possession, it should be submitted promptly to the Contracting Officer in a manner that clearly shows how the information relates to the offeror's price proposal. The requirement for submission of cost or pricing data continues up to the time of agreement on price, or an earlier date agreed upon between the parties if applicable.
- 5. By submitting your proposal, you grant the Contracting Officer or an authorized representative the right to examine records that formed the basis for the pricing proposal. That examination can take place at any time before award. It may include those books, records, documents, and other types of factual information (regardless of form or whether the information is specifically referenced or included in the proposal as the basis for pricing) that will permit an adequate evaluation of the proposed price.

**** *(Please note that data substantiating the costs or prices proposed (i.e. payroll documentation, vendor quotes, invoice price, etc.) shall not be submitted with the initial proposal. This information will be requested from the offeror during the negotiation process. The initial proposal need only indicate from what source the proposed costs and prices are substantiated.)* ****

(3) Requirements for Cost or Pricing Data or Information Other than Cost and Pricing Data [FAR Clause 52.215-20 (October 1997)]

(a) Exceptions from cost or pricing data.

- (1) In lieu of submitting cost or pricing data, offerors may submit a written request for exception by submitting the information described in the following subparagraphs. The Contracting Officer may require additional supporting information, but only to the extent necessary to determine whether an exception should be granted, and whether the price is fair and reasonable.
 - (i) Identification of the law or regulation establishing the price offered. If the price is controlled under law by periodic rulings, reviews, or similar actions of a governmental body, attach a copy of the controlling document, unless it was previously submitted to the contracting office.
 - (ii) Commercial item exception. For a commercial item exception, the offeror shall submit, at a minimum, information on prices at which the same item or similar items have previously been sold in the commercial market that is adequate for evaluating the reasonableness of the price for this acquisition. Such information may include--
 - (A) For catalog items, a copy of or identification of the catalog and its date, or the appropriate pages for the offered items, or a statement that the catalog is on file in the buying office to which the proposal is being submitted. Provide a copy or describe current discount policies and price lists (published or unpublished), e.g., wholesale, original equipment manufacturer, or reseller. Also explain the basis of each offered price and its relationship to the established catalog price, including how the proposed price relates to the price of recent sales in quantities similar to the proposed quantities;
 - (B) For market-priced items, the source and date or period of the market quotation or other basis for market price, the base amount, and applicable discounts. In addition, describe the nature of the market;
 - (C) For items included on an active Federal Supply Service Multiple Award Schedule contract, proof that an exception has been granted for the schedule item.

- (2) The offeror grants the Contracting Officer or an authorized representative the right to examine, at any time before award, books, records, documents, or other directly pertinent records to verify any request for an exception under this provision, and the reasonableness of price. For items priced using catalog or market prices, or law or regulation, access does not extend to cost or profit information or other data relevant solely to the offeror's determination of the prices to be offered in the catalog or marketplace.
- (b) Requirements for cost or pricing data. If the offeror is not granted an exception from the requirement to submit cost or pricing data, the following applies:
 - (1) The offeror shall prepare and submit cost or pricing data and supporting attachments in accordance with Table 15-2 of FAR 15.408.
 - (2) As soon as practicable after agreement on price, but before contract award (except for unpriced actions such as letter contracts), the offeror shall submit a Certificate of Current Cost or Pricing Data, as prescribed by FAR 15.406-2.
(End of provision)

Alternate I (October 1997). As prescribed in 15.408(1), substitute the following paragraph (b)(1) for paragraph (b)(1) of the basic provision:

- (b)(1) The offeror shall submit cost or pricing data and supporting attachments in the following format:

The format specified in paragraph L.2.c.(4) Cost and Pricing Data, subparagraph 3. Formats for Submission of Line Item Summaries shall be used for the submission cost information. Submission of all other cost or pricing data shall be in accordance with Table 15-2 in FAR 15.408.

(4) Qualifications of the Offeror

- a) You are requested to submit a summary of your "General Experience, Organizational Experience Related to this RFP, Performance History and Pertinent Contracts."

(1) General Experience

General experience is defined as general background, experience and qualifications of the offeror. A discussion of proposed facilities which can be devoted to the project may be appropriate.

(2) Organizational Experience Related to the RFP

Organizational experience is defined as the accomplishment of work, either past or on-going, which is comparable or related to the effort required by this RFP. This includes overall offeror or corporate experience, **but not** the experience and/or past performance of individuals who are proposed as personnel involved with the Statement of Work in this RFP.

(3) **Performance History**

Performance history is defined as meeting contract objectives within **delivery** and **cost schedules** on efforts, either past or on-going, which is comparable or related to the effort required by this RFP.

(4) **Pertinent Contracts**

Pertinent contracts is defined as a listing of each related contract completed within the last three years or currently in process. The listing should include: 1) the contract number; 2) contracting agency; 3) contract dollar value; 4) dates contract began and ended (or ends); 5) description of contract work; 6) explanation of relevance of work to this RFP; 7) actual delivery and cost performance versus delivery and cost agreed to in the contract(s). For award fee contracts, separately state in dollars the base fee and award fee available and the award fee actually received. The same type of organizational experience and past performance data should be submitted.

(5) **Pertinent Grants**

List grants supported by the Government that involved similar or related work to that called for in this RFP. Include the grant number, involved agency, names of the grant specialist and the Science Administrator, identification of the work, and when performed.

You are cautioned that omission or an inadequate or inaccurate response to this very important RFP requirement could have a negative effect on the overall selection process. Experience and past performance are factors which are relevant to the ability of the offerors to perform and are considered in the source selection process.

(5) **Other Administrative Data**

a) **Property**

- (1) It is DHHS policy that Contractors will provide all equipment and facilities necessary for performance of contracts. Exception may be granted to furnish Government-owned property, or to authorize purchase with contract funds, only when approved by the Contracting Officer. If the offeror is proposing that the Government provide any equipment, other than that specified under

Government Furnished Property in the RFP, the proposal must include comprehensive justification which includes:

- (a) An explanation that the item is for a special use essential to the direct performance of the contract and the item will be used exclusively for the purpose. Office equipment such as desks, office machines, etc., will not be provided under a contract except under very exceptional circumstances.
- (b) No practical or economical alternative exists (e.g., rental, capital investment) that can be used to perform the work.
- (2) The offeror shall identify Government-owned property in its possession and/or Contractor titled property acquired from Federal funds, which it proposes to use in the performance of the prospective contract.
- (3) The management and control of any Government property shall be in accordance with DHHS Publication (OS) 686 entitled, "Contractors Guide for Control of Government Property (1990)," a copy of which will be provided upon request.
- c) **Submission of Electronic Funds Transfer Information with Offer, FAR Clause 52.232-38 (MAY 1999)**

The offeror shall provide, with its offer, the following information that is required to make payment by electronic funds transfer (EFT) under any contract that results from this solicitation. This submission satisfies the requirement to provide EFT information under paragraphs (b)(1) and (j) of the clause at 52.232-34, Payment by Electronic Funds Transfer--Other than Central Contractor Registration.

- (1) The solicitation number (or other procurement identification number).
- (2) The offeror's name and remittance address, as stated in the offer.
- (3) The signature (manual or electronic, as appropriate), title, and telephone number of the offeror's official authorized to provide this information.
- (4) The name, address, and 9-digit Routing Transit Number of the offeror's financial agent.
- (5) The offeror's account number and the type of account (checking, savings, or lockbox).
- (6) If applicable, the Fedwire Transfer System telegraphic abbreviation of the offeror's financial agent.
- (7) If applicable, the offeror shall also provide the name, address, telegraphic abbreviation, and 9-digit Routing Transit Number of the correspondent financial institution receiving the wire transfer payment if the offeror's financial agent is not directly on-line to the Fedwire and, therefore, not the receiver of the wire transfer payment.

d) **Financial Capacity**

The offeror shall indicate if it has the necessary financial capacity, working capital, and other resources to perform the contract without assistance from any outside source. If not, indicate the amount required and the anticipated source.

e) **Incremental Funding**

(This is applicable if the RFP has stated that the contract resulting from this solicitation will be incrementally funded.)

An incrementally funded cost-reimbursement contract is a contract in which the total work effort is to be performed over a multiple year period and funds are allotted, as they become available, to cover discernible phases or increments of performance. The incremental funding technique allows for contracts to be awarded for periods in excess of one year even though the total estimated amount of funds expected to be obligated for the contract are not available at the time of the contract award. If this requirement is specified elsewhere in this RFP, the offeror shall submit a cost proposal for each year. In addition, the following provisions are applicable:

Sufficient funds are not presently available to cover the total cost of the complete multiple year project described in this solicitation. However, it is the Government's intention to negotiate and award a contract using the incremental funding concepts described in the clause entitled "Limitation of Funds." Under that clause, which will be included in the resultant contract, initial funds will be obligated under the contract to cover an initial period of performance. Additional funds are intended to be allotted from time to time, to the contract by contract modification, up to and including the full estimated cost of the contract, to accomplish the entire project. While it is the Government's intention to progressively fund this contract over the entire period of performance up to and including the full estimated cost, the Government will not be obligated to reimburse the Contractor for costs incurred in excess of the periodic allotments, nor will the Contractor be obligated to perform in excess of the amount allotted.

The "Limitation of Funds" clause to be included in the resultant contract shall supersede the "Limitation of Cost" clause found in the General Clauses.

f) **Facilities Capital Cost of Money, FAR 52.215-16, (October 1997)**

(This is applicable if you are a commercial organization.)

- (a) Facilities capital cost of money [(see FAR 15.408(h)] will be an allowable cost under the contemplated contract, if the criteria for allowability in

subparagraph 31.205-10(a)(2) of the Federal Acquisition Regulation are met. One of the allowability criteria requires the prospective Contractor to propose facilities capital cost of money in its offer.

- (b) If the prospective Contractor does not propose this cost, the resulting contract will include the clause Waiver of Facilities Capital Cost of Money.

(End of Provision)

If the offeror elects to claim this cost, the offeror shall specifically identify or propose it in the cost proposal for the contract by checking the appropriate box below.

☐ The prospective Contractor has specifically identified or proposed facilities capital cost of money in its cost proposal and elects to claim this cost as an allowable cost under the contract. Submit Form CASB-CMF (see FAR 31.205-10).

☐ The prospective Contractor has not specifically identified or proposed facilities capital cost of money in its proposal and elects not to claim it as an allowable cost under the contract.

(6) **Subcontractors**

If subcontractors are proposed, please include a commitment letter from the subcontractor detailing:

- a) Willingness to perform as a subcontractor for specific duties (list duties).
- b) What priority the work will be given and how it will relate to other work.
- c) The amount of time and facilities available to this project.
- d) Information on their cognizant field audit offices.
- e) How rights to publications and patents are to be handled.
- f) A complete cost proposal in the same format as the offeror's cost proposal.

(7) **Proposer's Annual Financial Report**

**** *This document is INCLUDED in the "Just In Time" procedures. Specific instructions for the submission of this document are outlined in SECTION L.1.a. of this RFP.* ****

All offerors included in the competitive range will be required to submit a copy of the organization's most recent annual financial report.

(8) **Representations and Certifications**

One copy of the Representations and Certifications (Attachment 7) shall be completed and be signed by an official authorized to bind your organization. Additionally, a completed copy of the Representations and Certifications shall be submitted from any proposed subcontractor.

(9) Travel Costs/Travel Policy

a) Travel Costs - Commercial

Costs for lodging, meals, and incidental expenses incurred by Contractor personnel shall be considered to be reasonable and allowable to the extent they do not exceed on a daily basis the per diem rates set forth in the Federal Travel Regulations, General Services Administration (GSA). Therefore, if travel costs are applicable and proposed by offerors, please be advised that they shall be calculated using the per diem rate schedule as established by GSA. Reimbursement of travel costs under any contract awarded from this RFP shall be in accordance with FAR 31.205-46.

b) Travel Policy

******** *This document is INCLUDED in the "Just In Time" procedures. Specific instructions for the submission of this document are outlined in SECTION L.1.a. of this RFP.* ********

All offerors included within the competitive range will be required to submit one copy of their written travel policy. A written travel policy for any proposed subcontractors shall also be submitted at that time. If an offeror (or any proposed subcontractor) does not have a written travel policy, the offeror shall so state.

ATTACHMENT 7 [\[Return to Table of Attachments\]](#)
RFP No. NIMH-00-DB-0006

APPLICABLE RFP REFERENCES

A. Uniform Contract Format (Sections B-H)

This is a listing of all the General clauses in Sections B-H of a resultant contract document, which will be applicable to most contracts resulting from this RFP, depending upon the type of contract awarded and the offeror's type of organization. This file is on-line at the URL

<http://www.nih.gov/ocm/contracts/rfps/sampkt.htm>

Disregard Sections I and J in this file.

B. General Clauses and Provisions (Section I in Uniform Contract Format)

Any resultant contract will include clauses applicable to your particular type of institution (e.g. educational, for-profit etc.). Therefore, search for the "Negotiated Cost-Reimbursement" type clauses applicable to your type of organization, located on-line at the URL

<http://amb.nci.nih.gov/Clauses/Clauses.html>

C. Forms, Formats and Attachments

The following items are applicable to this specific RFP and are located on-line in the file entitled FORMS, FORMATS AND ATTACHMENTS at URL:

<http://www4.od.nih.gov/ocm/contracts/rfps/forms1.htm>

Select ONLY the following forms and attachments from this URL site:

1. SUBMIT WITH TECHNICAL PROPOSAL (with original and every copy of technical proposal)

- a. Technical Proposal Cover Sheet (with every copy of technical proposal)
- b. Summary of Current and Proposed Activities
- c. Technical Proposal Cost Information

2. SUBMIT WITH BUSINESS PROPOSAL:

- a. Proposal Summary and Data record, NIH-2043, with every copy of business proposal.
- b. Business Proposal Cost Information
- c. Disclosure of Lobbying Activities, OMB SF-LLL, (only one completed and signed Original)
- d. Representations and Certifications - Negotiated Contract (only one completed and signed copy)

3. OTHER - TO BE SUBMITTED LATER:

- a. Certificate of Current Cost or Pricing Data, NIH-1397, to be submitted with FPR, if required by the CO
- b. DHHS Small, Small Disadvantaged, HUBZone and Women-Owned Small Business Subcontracting Plan, to be submitted as directed by the CO

4. ANTICIPATED TO BE INCLUDED AS CONTRACT ATTACHMENTS:

- a. Invoice/Financing Requests Instructions for NIH Cost-Reimbursement Type Contracts, NIH(RC)-1
- b. NIH 2706, Financial Report of Individual Project/Contract, the form with instructions
- c. Procurement of Certain Equipment, NIH(RC)-7